

Additional Permitted Subscription application forms

This application pack contains forms required to use an Additional Permitted Subscription (APS) allowance following the death of an ISA investor.

Form A

Application to use an APS allowance to invest in a stocks and shares ISA.

Please complete form A if you would like to invest all or part of your APS allowance into a stocks and shares ISA.

Form B

Application to transfer your APS allowance from another ISA provider to Columbia Threadneedle Fund Management Limited.

Please complete form B if you would like us to request the transfer of your APS allowance from another ISA manager. Once your APS allowance has been transferred from the other ISA manager, you can then complete form A to invest. Please note subsequent subscriptions can only be made in cash.

If you have any questions about filling in these application forms, please contact your financial adviser or call us on 0800 085 2752

Before you complete the application form, please refer to the checklist below:

Step 1

Your APS allowance is the value of i. if the investor died on or before 5 April 2018, up to the value of the deceased ISA investor's ISA holdings at the date of death; or ii. if the investor died on or after 6 April 2018, up to the higher of the value of the deceased ISA investor's ISA holdings at the date of death or at the point the ISA ceased to be a "continuing account of a deceased investor". This information can be obtained from the legal representative of the estate.

If the date of death is on or between the ex-dividend date and pay date of the fund/s held by the deceased ISA investor, the resulting income distribution amount, net of tax, will also form part of the APS allowance. This is not available on accumulation share classes as accrued income is already reflected in the share price. This information can be obtained from the legal representative of the estate.

If you wish to transfer your APS allowance from another ISA manager, please make sure that you have already submitted form B to us and that we have confirmed that the allowance has been transferred to us. Please note that only the APS allowance will be transferred to you, not the money and assets that were held within the deceased's ISA.

Step 2

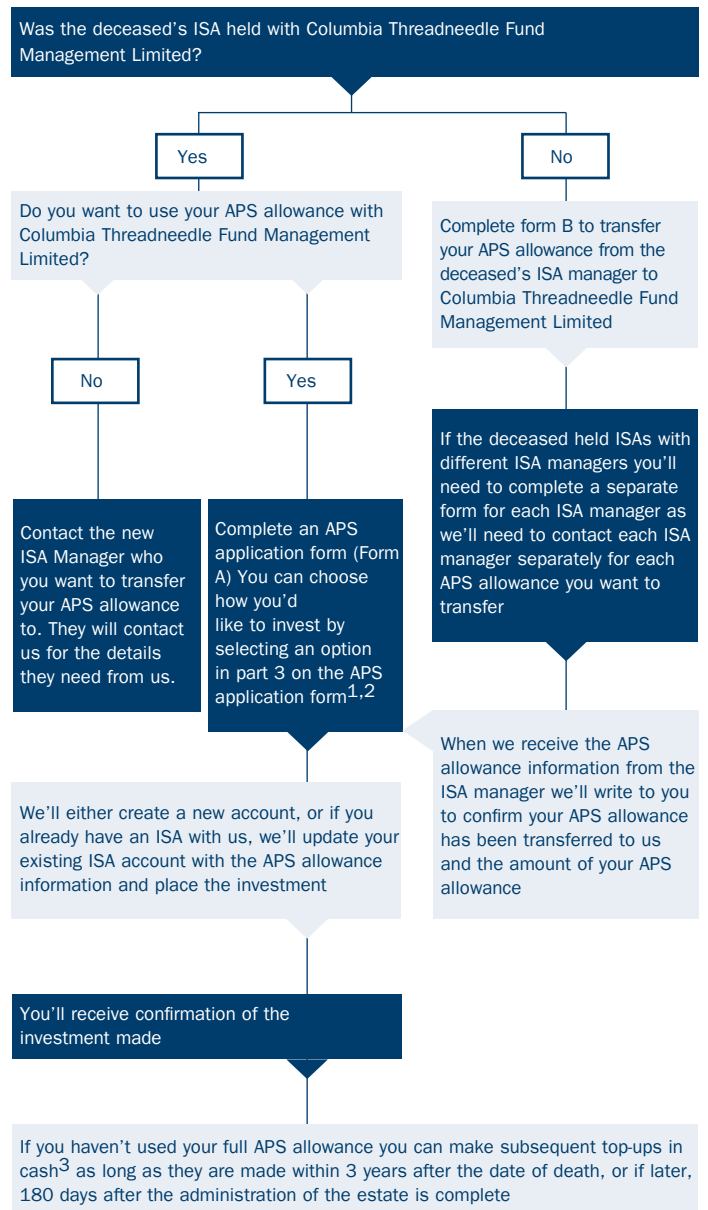
Please complete all sections that apply to you. Please use BLOCK capitals and black ink. If we cannot process your application, your investment could be delayed. If you have a Financial Adviser, please ensure that they complete their details.

Step 3

Please sign the declaration. We can only accept application forms with an original signature.

Step 4

If you are investing using inherited assets from the deceased's CT ISA, then please enclose the executor's signed instruction with this application.



¹ You may also need to provide us with the executor's signed instruction. ² When choosing an option please be aware re-registration can only be from an a CT ISA. ³ You'll need to complete a new form for each subsequent top up.

Form A: Application to use an Additional Permitted Subscription allowance to invest in a stocks and shares ISA

This form is for an investment into a stocks and shares ISA using an Additional Permitted Subscription (APS) allowance following the death of an ISA investor. It is an offer to enter into an agreement that covers your transactions with Columbia Threadneedle Fund Management Limited (trading as Columbia Threadneedle Investments). The CT APS ISA is provided by Columbia Threadneedle Fund Management Limited. Before completing the form, please ensure that you have read the relevant Key Investor Information Document(s) and Terms and Conditions. Go to Part 6, Declaration, to see if you are eligible to apply for an ISA.

All personal information submitted with this application form will be treated in accordance with Columbia Threadneedle Fund Management Limited Privacy Notice which is available at: www.ctinvest.co.uk/privacy.

Please use BLOCK CAPITALS and black ink throughout and ensure you have signed the Declaration in Part 6.

Part 1 Investor Details – this section must be completed

Please enter your existing investment account number here (if you have one):

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Your details

Title	First names (in full)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Permanent residential address (including postcode)

<input type="text"/>
<input type="text"/>
Postcode

Daytime telephone number

Evening telephone number

Date of birth

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Nationality

What is your intended use for this account? Are you investing for:

Retirement Education Income Capital growth Other

National Insurance number

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

Your National Insurance number

Your National Insurance number is required to open your account. If you do not know your number, you can obtain it from your employer or tax office (or pension book, if you have one). Please note, your National Insurance number will also be used for internal identification purposes.

Part 2 Details of the Deceased – to be completed by you

Deceased's title	Deceased's first names (in full)	Deceased's surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Permanent residential address of the deceased at their date of death (including postcode)

<input type="text"/>
<input type="text"/>
Postcode

Deceased's date of birth

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Deceased's National Insurance number (if known)

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Date of death

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Date of marriage or civil partnership between you and the deceased

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Deceased's existing ISA account number(s) with Columbia Threadneedle Fund Management Limited (if applicable)

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Part 5 Bank/Building Society Details – for Distribution Income

This section only needs to be completed if you wish to receive the income (interest or dividends) from your investment.

Name of bank or building society

Address

Postcode

Sort code Account number

Account Name as held by Bank or Building Society

Bank account name must be in the same name as the Columbia Threadneedle account being opened.

Roll number (if applicable)

Part 6 Declaration & authorisation – this section must be completed

I have received advice on this investment decision Yes No

(Please tick one box to confirm. The instructions will be processed on the basis that the decision was advised if left blank)

I declare that the information on this completed application form is correct to the best of my knowledge and belief. I confirm that I have seen the current Key Investor Information Document for each of the share classes applied for in Part 4. I agree to be bound by the terms & conditions relating to the plan and to inform Columbia Threadneedle Fund Management Limited in writing immediately of any change in my circumstances.

I understand that this application is subject to acceptance by Columbia Threadneedle Fund Management Limited and that they may act on instruction from my financial adviser, if applicable.

I understand that money laundering regulations may require Columbia Threadneedle Fund Management Limited to verify my identity and permanent residential address through searches of the electoral roll and credit reference agencies and that these agencies may keep a record of Columbia Threadneedle Fund Management Limited's enquiry. I further understand that Columbia Threadneedle Fund Management Limited may also need to write to me for additional documentation confirming my identity and permanent residential address. All applications will be processed on receipt, however Columbia Threadneedle Fund Management Limited reserves the right not to issue Shares to me nor make payments in respect of my investment until satisfactory proof of my identity and permanent residential address is provided.

I 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 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 declare that all subscriptions made, and to be made, to this ISA belong to me. I am 18 years of age or over and I am resident in the UK for tax purposes or, if not resident, either perform duties 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, or in a civil partnership with, a person who performs such duties. I will inform Columbia Threadneedle Fund Management Limited 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 hereby authorise Columbia Threadneedle Fund Management Limited to:

- disclose any information relating to my account to the Financial Conduct Authority, HMRC or to make such disclosure as otherwise required by law, including anti-money laundering and anti-terrorism laws. Columbia Threadneedle Fund Management Limited may be obliged to make disclosures regarding such information to comply with the requirements of applicable law or regulation and/or the requirements of UK and other competent authorities;
- hold my cash subscription, 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;
- on my written request, to transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash;
- to undertake any necessary searches of the electoral roll and credit reference agencies.

Signature

Date

Data Protection

All personal information submitted with this application form will be treated in accordance with Columbia Threadneedle Fund Management Limited's Privacy Notice which is available at:

www.ctinvest.co.uk/privacy. In the Privacy Summary Statement included with this application form, we have provided you with some key information about how we process your personal information. There is a lot more information contained in our Privacy Notice, which we recommend that you read. Should you have any questions regarding how we process your personal information, we have provided you with key contact information in the Privacy Summary Statement, as well as in our Privacy Notice.

Marketing

We would like to provide you with details of financial services and products that we offer which we think you might find interesting. **If you would NOT like to receive such information, please tick this box** .

If at any time you change your mind, please let us know by emailing us at preferences@columbiathreadneedle.com. For full details of how we use your personal information, please visit www.ctinvest.co.uk/privacy.

Part 6 Declaration & authorisation – this section must be completed (continued)

Before you return the application form, please refer to this checklist:

1. Make sure you have completed each part of the application and signed the Declaration in Part 6.
2. Lump sums – please make your cheque payable to **Columbia Threadneedle Fund Management Limited** and enclose it with your application.
3. Any cheques payable to Columbia Threadneedle Fund Management Limited must be drawn from an account in the name of the applicant.
4. Where the application is supported by a building society cheque or bankers draft please state the name and account number from which the funds have been drawn either on the front of the cheque, on the back of the cheque together with the branch stamp, or by way of other supporting document.

Please send your application, plus your cheque (where applicable), together with any other relevant information as specified, to your financial adviser, or to:

Columbia Threadneedle Fund Management Limited
PO Box 9040,
Chelmsford,
Essex
CM99 2XH

Receipt at any other offices of Columbia Threadneedle Fund Management Limited or its associates will not be deemed to be receipt for purposes of effecting the ISA. If you have any queries about completing your application please call us on **0800 085 2752**

Part 7 For Financial Adviser Use only – this section must be completed in full for advised business. The form may be rejected if the fields have not been filled in.

Company name

Company address including postcode

Postcode

Agent code*

FCA number

*This number can be located on your commission statement.

Name of Network or Service Provider you are affiliated with (if relevant)

Please tick to confirm that certified proof of the client identity and permanent residential address is enclosed.

This transaction is subject to the current Terms of Business for Independent Intermediaries available within the Literature Library at www.ctinvest.co.uk.

Form B: Application to transfer your Additional Permitted Subscription allowance from another ISA provider to Columbia Threadneedle Fund Management

Please note if multiple ISAs were held with the deceased's ISA manager their value will be combined to form one Additional Permitted Subscription (APS) allowance. Please complete a separate form for each ISA manager you wish to transfer your APS allowance from.

The CT APS ISA is provided by Columbia Threadneedle Fund Management Limited. This application form represents the basis of your contract with Columbia Threadneedle Fund Management Limited (trading as Columbia Threadneedle Investments). Before completing the application form please ensure that you have read the relevant Key Investor Information Document(s) and Terms and Conditions.

All personal information submitted with this application form will be treated in accordance with Columbia Threadneedle Fund Management Limited Privacy Notice which is available at: www.ctinvest.co.uk/privacy.

Please use BLOCK CAPITALS and black ink throughout and ensure you have signed the Declaration in Part 4, then return to: Columbia Threadneedle Fund Management Limited, PO Box 9040, Chelmsford, Essex CM99 2XH.

Part 1 Investor Details – this section must be completed

Please enter your existing investment account number here (if you have one):

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Your details

Title	First names (in full)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Permanent residential address (including postcode)

<input type="text"/>
<input type="text"/>
Postcode

Daytime telephone number

Evening telephone number

Date of birth

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Sex

Male Female

Nationality

What is your intended use for this account? Are you investing for:

Retirement Education Income Capital growth Other

National Insurance number

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

Your National Insurance number

Your National Insurance number is required to open your account. If you do not know your number, you can obtain it from your employer or tax office (or pension book, if you have one). Please note, your National Insurance number will also be used for internal identification purposes.

Data Protection

All personal information submitted with this application form will be treated in accordance with Columbia Threadneedle Fund Management Limited's Privacy Notice which is available at:

www.ctinvest.co.uk/privacy. In the Privacy Summary Statement included with this application form, we have provided you with some key information about how we process your personal information. There is a lot more information contained in our Privacy Notice, which we recommend that you read. Should you have any questions regarding how we process your personal information, we have provided you with key contact information in the Privacy Summary Statement, as well as in our Privacy Notice.

Marketing

We would like to provide you with details of financial services and products that we offer which we think you might find interesting. If you would NOT like to receive such information, please tick this box .

If at any time you change your mind, please let us know by emailing us at preferences@ctinvest.co.uk. For full details of how we use your personal information, please visit www.ctinvest.co.uk/privacy.

Part 2 Details of the Deceased – to be completed by you

The following information must be completed by you and will be sent by us to the existing ISA manager.

Deceased's title	Deceased's first names (in full)	Deceased's surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Permanent residential address of the deceased at their date of death (including postcode)

<input type="text"/>
Postcode

Deceased's date of birth	Deceased's National Insurance number (if known)
<input type="text"/>	<input type="text"/>

Date of death	Date of marriage or civil partnership between you and the deceased
<input type="text"/>	<input type="text"/>

Part 3 Additional Permitted Subscription Allowance Transfer Information

Name of deceased's ISA manager

Address of deceased's ISA manager (including postcode)

<input type="text"/>
Postcode

Deceased's ISA account number(s) with ISA manager

Part 4 Your Additional Permitted Subscription (APS) eligibility declaration and signature

Please be aware that an APS allowance can only be transferred once, and only where no subscriptions have been made in respect of that APS allowance. Once the APS allowance has been transferred, subscriptions may only be made in cash.

About you - to be completed by you

Title	First names (in full)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Date of birth

I, the investor wishing to transfer the APS allowance to Columbia Threadneedle Fund Management Limited, 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)
- I have not subscribed to and will not subscribe to the APS allowance with the existing ISA provider of the deceased in respect of the deceased named in this application
- I intend to make an APS application to Columbia Threadneedle Fund Management Limited.

I authorise the existing ISA manager of the deceased as specified on this application to provide Columbia Threadneedle Fund Management Limited with any information, written or non-written, concerning the APS allowance and former ISA in respect of myself (the investor) and the deceased and to accept any instruction from them relating to the APS allowance being transferred.

I declare that this APS allowance transfer application form has been completed correctly to the best of my knowledge and belief.

Signature

Date

Notes

Please return your completed form using the pre-paid envelope to: Columbia Threadneedle Fund Management Limited, PO Box 9040, Chelmsford, Essex CM99 2XH
If you have any queries about completing your application please call us on 0800 085 2752.

Part 5 Transfer Acceptance

We, Columbia Threadneedle Fund Management Limited, are willing to accept this APS allowance transfer in line with the investor's instructions overleaf. We confirm that, subject to relevant checks, we are willing to accept an APS application from the investor.

To the ISA provider:

Please confirm in writing the aggregated value of the Additional Permitted Subscription (APS) allowance and that the transfer is complete to:

Columbia Threadneedle Fund Management Limited
PO Box 9040
Chelmsford
Essex
CM99 2XH

Your data controller

For the purposes of the UK GDPR and the UK Data Protection Act 2018 and/or any consequential national data protection legislation, and/or any other applicable legislation or regulation, the data controller in respect of any personal information provided is a company under the Columbia Threadneedle Investments group of companies, as further detailed in our Privacy and Cookie Policy, which can be found at <https://www.columbiathreadneedle.co.uk/en/retl/privacy-cookie-policy/>

Uses made of your personal information

This Privacy Statement covers information about you ("personal information") that you supply to us. This information will typically include information such as your name, address, date of birth, telephone number, email address, gender, financial information and other information you provide to us. Our legal basis to process your information includes doing so in order to comply with our legal obligations (e.g., for the purposes of debt collection and/or the prevention of fraud or any other crime), to perform a contract between us and you (e.g., manage and administer your account (including but not limited to contacting you with details of changes to the products you have bought, and offering you new investment products), establish and defend any legal claims, or because you have consented to our use of your information. We may also process your personal information because it is necessary for our legitimate business interests (e.g., for internal analysis and research), we may also process your data in order to comply with legal or regulatory requirements.

Sharing of your personal information

We may use external third parties such as those described below to process your personal information on our behalf in accordance with the purposes set out in this privacy statement.

Where you have notified us of your adviser, the personal information provided may be shared with your adviser. You must notify us in writing if you no longer wish us to share your personal information with your adviser or of any change to your adviser. Your adviser should have its own arrangements with you about its use of your personal information. For the avoidance of doubt, if you do wish to exercise any of your individual rights as set out in our privacy notice via your nominated adviser then we will require written authorisation from you (or both of you, in the case of a joint account) before we can share any such personal information with your adviser.

The personal information provided may also be shared with other organisations (including but not limited to governmental and/or tax authorities in the UK and outside the UK) in order for us to comply with any legal or regulatory requirements (e.g., audit reporting and anti-money laundering checks) and, in addition (in respect of tax authorities, and where lawful to do so under data protection laws) where necessary for the purposes of ensuring that tax is paid correctly and that we receive refunds of tax already paid when this is due to us. We may also transfer your personal information to appointed third party administrators, such as transfer agents, in order to process customer applications, carry out record keeping, deal with subscriptions, switching, withdrawals and terminations, and certain communications. In addition, we may share your personal information with the companies within the ACD's group of companies for the purposes set out in this privacy statement and our privacy policy.

Business changes

If we or the Columbia Threadneedle Investments group of companies undergoes a group reorganisation or is sold to a third party, your personal information provided to us may be transferred to that reorganised entity or third party and used for the purposes highlighted above.

Overseas transfers

We may transfer your personal information to countries located outside of the UK or the European Economic Area (the 'EEA'), including to the United States. This may happen when our servers, suppliers and/or, service providers are based outside of the UK or the EEA. We may transfer your information under certain circumstances (e.g., where it is necessary to perform our contract with you). The data protection laws and other laws of these countries may not be as comprehensive as those that apply within the UK or the EEA – in these instances we will take steps to ensure that your privacy and confidentiality rights are respected. We implement measures such as standard data protection contractual clauses to ensure that any transferred personal information remains protected and secure. A copy of these clauses can be obtained by contacting us at the address listed below in the "Contact Information" section. Details of the countries relevant to you will be provided upon request.

Your Rights

With limited exceptions, you are entitled, in accordance with applicable law, to object to or request restriction of processing of your personal information, and to request access to, rectification, erasure and portability of your personal information. This service is provided free of charge unless requests are manifestly unfounded or excessive. In these circumstances, we reserve the right to charge a reasonable fee or, refuse to act on the request. You can write to us at ACD Client Services at the details provided in the Directory or by contacting us at the address listed below in the "Contact Information" section.

If any of the information that we hold about you is wrong, please tell us and we will put it right.

You may lodge a complaint with the applicable regulator if you consider our processing of your personal information may infringe applicable law.

Data Security and Retention

We maintain reasonable security measures to safeguard personal information from loss, interference, misuse, unauthorised access, disclosure, alteration or destruction. We also maintain reasonable procedures to help ensure that such data is reliable for its intended use and is accurate, complete and current.

Personal information will be retained only for so long as reasonably necessary for the purposes set out above, in accordance with applicable laws. For more information on our data retention periods, you can request a copy of our data retention policy by writing or emailing to the address listed below in the "Contact Information" section.

Contact Information

You can raise any issues regarding the processing of your personal information by contacting our Data Protection Officer at any time: DPO@columbiathreadneedle.com or Cannon Place, 78 Cannon Street, London EC4N 6AG.