

Triodos Bank. Ethical Stocks and Shares ISA application form.

This is an application for a Triodos Ethical Stocks and Shares ISA for the tax year 2019/2020 and each subsequent year until further notice. The maximum annual subscription limit for ISAs this tax year is £20,000.

This form should be completed either by printing a blank copy and filling in the required fields, or by filling in the fields online and then printing the form. Please ensure all applicants sign the declaration before sending the completed application form to:

Freepost RTAB-JGZR-BUHK
Triodos Bank
T. Bailey Asset Management Ltd
64-66 St James's Street
Nottingham
NG1 6FJ

Before completing this application form, please make sure you have read the SICAV I Prospectus and UK addendum, Key Investor Information Document(s) for the funds, the Supplementary Information Document and the Socially Responsible Investment Funds and Ethical Stocks and Shares ISA Terms and Conditions.

The Triodos Ethical Stocks and Shares ISA is continuous, so if you already have a Triodos Ethical Stocks and Shares ISA you do not need to open a new account. The Supplementary Information Document and the Socially Responsible Investment Funds and Ethical Stocks and Shares ISA Terms and Conditions contain full details on how to make additional lump sum investments.

Important notice for all new and existing customers

We are required by law to check the identity of customers opening an account. To help us verify your identity and address we may make an electronic search, using the information you have supplied on this form. Please see our Socially Responsible Investment Funds Terms and Conditions for further information. In some instances we may need to ask you to send in further information or documents.

If the details you provide as part of this application are different to the details we currently hold then we may change your existing record. You may be contacted to verify this change or to request further confirmation. We have indicated in the form where details will be automatically updated.

Advisor details (if applicable)
Name and address:

Email

Telephone

FCA Reference Number

Intermediary Number

Would you like to receive account and share information in addition to the applicant?

Yes No

Please fill in sections 1 - 5

If you are filling in this form by hand, please use BLOCK CAPITALS.

Section 1: Applicant details

How did you hear about Triodos Bank?

Personal details

Title Mr / Mrs / Ms / Miss / Dr / Other

First name(s)

(for identification purposes, please use your full name and not a nickname)

Surname

Male Female

Date of birth

/ /

Country of birth

Nationality

Permanent residential address

Please be aware that you must be a UK resident to apply for a Stocks & Shares ISA

Postcode

Telephone (home)*

Mobile*

Email*

(*if you are happy to be contacted by telephone and email in the future)

If we already hold your address, telephone or email details, they will be updated with information you have provided in this section.

We need your email address to set up your internet banking access which will allow you to see details of your investments and their value online.

If we already have your email address, your Ethical Stocks and Shares ISA account will automatically have internet access too.

National Insurance

Do you have a National Insurance Number?

Yes No

If yes, please enter your National Insurance Number

- - - -

(you should be able to find your National Insurance Number on your payslip, form P45 or P60, a letter from HMRC, a letter from the DWP or pension order book)

Tax Residency

Are you tax resident in the UK?

Yes No

Are you tax resident in any country other than the UK?

Yes No

If yes, where else are you tax resident?

Please provide your Tax Identification Number (TIN) or equivalent for each country where you are tax resident.

Country

TIN

Country

TIN

Country

TIN

United States tax liability

Are you a United States person?

A 'United States person' includes citizens and residents of the United States. Please see www.irs.gov for more details.

Yes No

If yes, please enter your US Tax Identification Number

Security word

To help us identify you if you call, please provide us with a security word if you don't already have one

(between 8 and 20 characters)

Please remember your security word, as you will need to use it each time you call for information about your account or if you need to reset your access to internet banking. If you are an existing customer this will replace your current security word.

Section 2: Investment details

Investments may be added to your new Triodos Ethical Stocks and Shares ISA in the following ways:

2a. By purchasing shares in the Triodos Socially Responsible Investment Funds using all or part of this year's ISA allowance; and/or

2b. By wrapping the equivalent worth of already owned Triodos Socially Responsible Investment Funds to use up all or part of this year's ISA allowance; and/or

2c. By transferring the funds released from any other permitted ISAs for the current or previous tax years. You will also need to complete and return the relevant transfer authority form. Go straight to section 2c.

Your total investment must not exceed the maximum ISA allowance for this tax year taking into account any money you have already subscribed to any other permitted ISAs in this same tax year.

You may only subscribe to one Stocks and Shares ISA at a time in any tax year so if you have already subscribed to a Stocks and Shares ISA with another provider this current tax year, you may not subscribe to a

Triodos Ethical Stocks and Shares ISA unless you transfer at least your current year Stocks and Shares ISA subscriptions to us.

Please give details of the initial investment(s) you would like to make.

2a. Buy shares in the Triodos Socially Responsible Investment Funds using all or part of this year's ISA allowance

The minimum initial investment per fund is £1,000.

Fund options	Sum to be invested	
	Distribution shares (please give us details of where to transfer any dividend income in section 3)	Capitalisation shares
Triodos Sustainable Equity Fund	£	£
Triodos Sustainable Pioneer Fund	£	£

Please tell us how you would like to make this new investment by ticking the relevant boxes below:

By cheque

This cheque must be from a personal account in your own name. The cheque should be made payable to Triodos Bank Client Money.

I enclose a cheque for

By electronic bank transfer

You must send us your funds within 10 days of us receiving this application. Please contact your sending bank to carry out the instruction. It must be sent from a sterling account in your own name with another UK bank/building society. Please give details below.

Bank or Building Society name

Account holder's name

Sort code

Account number

Payment should be made to the following account:

Triodos Bank Transactional Client Money

Sort Code: **60-00-04**

Account number: **10019561**

When transferring money please put your name as the payment reference.

By transfer from your existing Triodos UK savings account or current account that is not a Triodos ISA.

Please transfer

from

Triodos Bank account holder name(s)

Triodos Bank account number

If the existing UK Triodos Bank account is a joint account which is jointly operated, we will require signatures from both account holders. Please note that the second signatory is only authorising the money transfer and will not be authorised to operate this Triodos Ethical Stocks and Shares ISA account.

We will carry out this transfer on your behalf. If your existing Triodos UK account has a notice period, it will be waived and no early access charge applied. Transfers that exceed £100,000 may experience delays.

Signature - First account holder

Signed

Signature - Second account holder

Signed

For fund administrator use only

Payment reference number

Intermediary Number

Triodos Bank Transactional Client Money

Sort Code: 60-00-04

Account number: 10019561

2b. Wrap your existing investments in the Triodos Socially Responsible Investment Funds into a new Triodos Ethical Stocks and Shares ISA

Fund options	Sum to be wrapped		Or	Wrap my whole existing investment
	Distribution shares <small>(please give us details of where to transfer any dividend income in section 3)</small>	Capitalisation shares		
Triodos Sustainable Equity Fund	£	£		
Triodos Sustainable Pioneer Fund	£	£		

2c. Transfer the funds released from your existing stocks and shares or cash ISAs for the current or previous tax years.

Tick this box if you want to transfer funds from an existing ISA. Please also complete and return the appropriate ISA transfer authority form. If transferring from another provider to the Triodos Ethical Stocks and Shares ISA please complete the external ISA transfer form available in the application pack or on our website www.triodos.co.uk/ssisa-transfer-form, or if transferring an existing Triodos Cash ISA please complete the Internal ISA transfer form available in an application pack or on our website www.triodos.co.uk/downloads/isa-transfer-internal.pdf

Section 3: Nominated account

You must nominate an account for settlements to be transferred to you when you sell shares and/or close your account.

If you are purchasing Distribution Shares this is also the account where any dividend income from your investments will be paid in to.

Your nominated account must be a sterling account in your own name with either another UK bank/building society or an existing UK Triodos Bank account.

Bank or Building Society name

Account holder's name

Sort code

Account number

or

Triodos Bank Account Number

Section 4: Account set up

Providing we have your email address, once processed, you will be able to view your Triodos Ethical Stocks and Shares ISA account through internet banking.

Full details of the information that you will be able to see in internet banking and changes you can make to your account online are listed in the Supplementary Information Document and Socially Responsible Investment Funds and Ethical Stocks and Shares ISA Terms and Conditions.

Sign up to receive further information from us

At Triodos Bank, we believe dialogue is crucially important and we value the opportunity to share our mission and impact. At the same time, transparency has always been a core value of the bank, and this extends to how we use your data. We believe it is important to deal with your money consciously, and we do the same with your data.

How we use your personal information

We won't share your information with anyone else without informing you and will only share your data with other organisations required to complete processing necessary to provide our products and services. For information about how Triodos Bank use and share your personal information please see our Privacy Statement at www.triodos.co.uk/privacy-statement. By applying for this product, you acknowledge and understand that your personal data will be processed and stored for future reference in accordance with this Privacy Statement.

Receive marketing about our products and services

Let us know if you would like to be kept up-to-date with information about our products and services that we believe may be of interest to you.

By email By post Please don't send

Receive inspiring news

Let us know if you'd like to stay connected to the projects and organisations that money from Triodos Bank customers helps to finance. This includes receiving our 'Colour of Money' publication, email newsletters and other inspirational communications such as invitations to events, competitions and stories.

By email By post Please don't send

Selecting option 'By email' means you will also receive our Colour of Money publication by post

If you are already a Triodos Bank customer this will replace your current preferences. You can change your preferences at any time in Internet Banking.

Section 5: ISA Application and Declaration (please read & sign)

ISA application

I apply to subscribe for a stocks and shares ISA for the tax year 2019/2020 and each subsequent year until further notice (the tax year ends on 5 April).

I declare that

all subscriptions made, and to be made, belong to me;

I am 18 years of age or over;

I have not subscribed and will not subscribe more than the overall subscription limit to any combination of permitted ISAs in the same tax year (from 6 April);

I have not subscribed and will not subscribe to another stocks and shares ISA in the same year that I subscribe to this stocks and shares ISA and

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 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 Triodos Bank 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.

Telephone: 0330 355 0355
contact@triodos.co.uk
www.triodos.co.uk

Calls to and from Triodos Bank may be recorded for training and monitoring purposes.

Triodos Bank NV (incorporated under the laws of the Netherlands with limited liability, registered in England and Wales BR3012). Authorised by the Dutch Central Bank and subject to limited regulation by the Financial Conduct Authority and Prudential Regulation Authority. Details about the extent of our regulation by the Financial Conduct Authority and Prudential Regulation Authority are available from us on request. Registered Office: Triodos Bank, Deanery Road, Bristol BS1 5AS. VAT reg no 793493383

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Triodos @ Bank

I authorise Triodos Bank

to 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 and

to make any enquiries that may be considered necessary to confirm the details on this form.

I confirm that I have read and understood in full the information contained in this Application Form, the relevant Key Investor Information Document(s), the Supplementary Information Document, the Socially Responsible Investment Funds and Ethical Stocks and Shares ISA Terms and Conditions and the Triodos Bank UK Best Execution Policy.

These documents constitute the agreement between me and Triodos Bank and I agree to be bound by the terms and conditions contained therein. I have kept a copy of them for my records.

I acknowledge that this application is subject to acceptance by Triodos Bank and your right to suspend operations on this account until satisfactory details about my identification have been supplied. Also that Triodos Bank accepts no responsibility for any loss incurred as a result of any delay in the submission and processing of the application form.

I agree to the Socially Responsible Investment Funds and Ethical Stocks and Shares ISA Terms and Conditions.

I declare that this application form has been completed to the best of my knowledge and belief and I will undertake to notify you without delay should any of the details change.

Signed

Date

/ /

Your checklist

Please check you have:

Completed sections 1 - 5

Signed and dated the ISA Application and Declaration

Enclosed a cheque for the opening deposit (if applicable)

Made a transfer from your sterling account for the initial investment (if applicable) or enclosed an ISA transfer authority form (if applicable).

Send your completed application form to:

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T. Bailey Asset Management Ltd
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