CAUSEWAY SECURITIES

Can we help you?

If you or your financial adviser needs help completing the form, please contact us, telephone calls may be recorded.

T: 0800 208 4483
E: admin@uk.causeway-securities.com

Please send completed applications including the required supporting documentation to:

E: admin@uk.causeway-securities.com

Causeway Securities Limited
PO Box 1378, St Albans, AL1 9SX

Please note that we cannot accept your application unless you have either received financial advice or had the appropriateness of this investment assessed by an FCA regulated financial adviser.

UK SEMI-ANNUAL KICK-OUT PLAN (SB-03)

DECEMBER 2026

APPLICATION FORM Trustees

Key Dates
ISA Transfer Deadline: 27 November 2026
Application Deadline: 11 December 2026
Start Date: 18 December 2026

ISIN: XS3531774 78

APPLICATION FOR TRUSTEES

CAUSEWAY SECURITIES

1. TRUST DETAILS

Please provide a certified copy of original Trust deed.

If you have not completed any relevant Trust documentation or if you are unclear as to how to hold your investment for the benefit of others, please ask your financial adviser for further information. We would recommend that you also seek separate legal advice during the lifetime of the Trust.

Please provide details of all trustees – continue on a separate sheet if necessary.

Name of Trust:

Purpose of Trust (i.e. discretionary, testamentary, bare):

Country of establishment:

Date of Trust (dd/mm/yyyy):

Trust address:

COUNTY

POST CODE

First Trustee

Full Name:

Residential Address:

COUNTY

POST CODE

Email:

Date of Birth (dd/mm/yyyy):

Telephone No:

Second Trustee

Full Name:

Residential Address:

COUNTY

POST CODE

Email:

Date of Birth (dd/mm/yyyy):

Telephone No:

Third Trustee

Full Name:

Residential Address:

COUNTY

POST CODE

Email:

Date of Birth (dd/mm/yyyy):

Telephone No:

Fourth Trustee

Full Name:

Residential Address:

COUNTY

POST CODE

Email:

Date of Birth (dd/mm/yyyy):

Telephone No:

2. PROTECTOR DETAILS

Full Name:

Address:

COUNTY

POST CODE

Country of residence:

Date of Birth (dd/mm/yyyy):

Nationality:

3. SETTLOR DETAILS

Full Name:

Address:

COUNTY | POST CODE

Country of residence: | Date of Birth (dd/mm/yyyy):

Nationality:

4. BENEFICIARY DETAILS (Please copy sheet for additional beneficiaries)

First Beneficiary

Full Name:

Permanent Address:

COUNTY

POST CODE

Date of Birth (dd/mm/yyyy):

Occupation:

NI Number:

Are you resident in the UK for Tax Purposes Yes: No:

Are you resident for tax purposes in any other country? Yes: No:

If you have answered yes to the latter question input Country and Tax Reference:

/

Second Beneficiary

Full Name:

Permanent Address:

COUNTY

POST CODE

Date of Birth (dd/mm/yyyy):

Occupation:

NI Number:

Are you resident in the UK for Tax Purposes Yes: No:

Are you resident for tax purposes in any other country? Yes: No:

If you have answered yes to the latter question input Country and Tax Reference:

/

5. SOURCE OF FUNDS – What has created / is generating the funds being used to open this plan?

- Accumulated Savings
- Pension Lump Sum
- Employment related (e.g. Bonus)
- Property Sale
- Inheritance
- Reinvestment of matured funds
- Transfer from another provider

Other (please state):

6. TAX STATUS

Causeway Securities Limited is obliged by UK tax legislation to identify and report to HM Revenue and Customs personal information and account details relating to clients who are resident for tax purposes in certain countries (e.g. the USA). As part of this we may ask you for additional information and/or documentation from time to time relating to the tax status of:

(a) Trust;

(b) all Trustees;

(c) the Settlor(s);

(d) any Protector(s) (these are people who have the power to appoint or remove a trustee);

(e) any Beneficiaries who are entitled to at least 20% of the value of the Trust

List all countries where you are resident for tax purposes. This usually means the country/countries where you have an obligation to pay taxes or file tax returns. Please also provide your associated Tax Identification Number (TIN). A TIN is the tax reference number issued to you by the tax office in the country where you are resident for tax purposes. Where a country does not issue a TIN, please provide an equivalent number.

Country:		Tax Identification Number:	
Country:		Tax Identification Number:	
Country:		Tax Identification Number:	
Country:		Tax Identification Number:	

Is the Trust resident for tax purposes in any country/countries other than those stated above?

Yes ☐ No ☐

If yes, please photocopy this page and provide details. Does the Trust have a Global Intermediary Identification Number (GIIN) issued by the US Inland Revenue Service?

Yes ☐ No ☐

If it does, please provide the GIIN:

7. PAYMENT DETAILS

All redemptions will be transmitted to the following bank/building society account. Payments can only be made into an account with a bank or building society within the UK Clearing system.

Bank / Building Society Name:

Account Holder Name:

Sort Code: ☐☐ ☐☐ ☐☐ Account Number: ☐☐☐☐☐☐☐☐

Building Society Reference or Roll Number

8. INVESTMENT DETAILS (Minimum £3,000.00)

Product Name	Amount (£)*	Adviser Fee (£ or %)	Adviser Fee has been settled Directly with Customer (circle)
			YES ☐ NO ☐

***Investment amount must be in whole pounds.**
Please submit the above investment amount by bank transfer to the details below:

Bank Name:	Natwest
Account Name:	Causeway Securities Limited
Sort Code:	60-00-01
Account Number:	49228609
IBAN:	GB89NWBK60000149228609
Payment Reference (MANDATORY):	**Please use your Legal Entity Identifier (LEI)/Tax Identification Number**

9. DATA PROTECTION – Use of your data

Causeway Securities Limited is committed to processing your data in accordance with the Data Protection Act 2018. We may use your personal data to provide you with services you request from us, manage your accounts, make decisions, detect and prevent fraud, for analysis and assessment, and to ensure that we comply with legal and regulatory requirements. For further details of how Causeway Securities Limited use your information, please read our Data Protection Statement on our website www.causeway-securities.com or ask for a printed copy.

☐ I/We do not wish to receive marketing information by post and telephone.

By signing this form you agree that we can use and disclose your information in the ways described in our Data Protection Statement, as amended or updated from time to time.

10. DECLARATION

I/We declare that I/we are authorised to provide all instructions in relation to this investment either as Trustee for the Scheme or as specifically authorised as a signatory on behalf of the Scheme (authority provided).

- I/We confirm that the information given on this application at the date of signing is true, complete and correct to the best of our knowledge and belief.
- I/We declare that I/we understand the Plan brochure, including the Plan Risks and accept the Terms and Conditions and agree to be bound by the Terms and Conditions under which our plan will be managed.
- I/We acknowledge that in order to comply with its obligations under UK tax legislation, Causeway Securities Limited may request me/us to provide additional information and/or documentation related to the tax status of my/our organisation and any trustee, settlor, protector or beneficiary. I/We agree to comply at all times with such a request from Causeway Securities Limited within the time specified by Causeway Securities Limited in its request.
- I/We have taken any and all independent advice required, do not require any further consent and will not be in breach of any regulatory or trust provisions in making this investment.
- I/We agree to advise Causeway Securities Limited within 30 days in writing of any changes in the information contained in this Application Form, including any changes to the Trustee Holder. I/We agree to provide evidence of the change if I am/we are asked to.
- I/We confirm that I/we have the full power to invest in the Plans and have taken all action necessary to authorise the completion of this application and the person(s) signing this Application Form have full power, consents and authority to do so on our behalf.
- I/We are not acting on behalf of a resident of the United States or a U.S. Person (as defined under the Internal Revenue Code of 1986, as amended) and I/we will not assist any person who is resident in the United States or a U.S. Person to acquire an interest in the Trust/Bond. I/We agree to inform you immediately should I/we believe anyone connected with the trust becomes a resident of the United States or a U.S. Person.
- I/We are not acting on behalf of a person who is in the United States or who is a U.S. Person (as defined in Regulation S under the U.S. Securities Act of 1933, as amended).
- I/We authorise Causeway Securities Limited to hold the subscriptions, Plan Investments, interest and any other rights or proceeds in connection with our investments and any other cash and upon our request to transfer or pay to the Scheme any investments, interest, rights or other proceeds in connection with such investments.
- I/We accept that the Plan Manager will only provide an annual statement on the value of the Plan.
- I/We have received the FSCS Information Sheet that was provided with this application form.
- I/We confirm that I/we have read and understood the Key Information Document and Plan Brochure(s), including Plan risks and selling restrictions, and the Terms and Conditions under which your Plan will be managed

Notes:

1. Money Laundering Regulations (as amended): Under the regulations there is a legal requirement to prove the identity of people who wish to make an investment. In order to comply with these regulations, we require the Verification of Identify Section of this form to be completed.
2. Your Plan is designed to be held without change until it matures. The interim value of the underlying investment of the Plan does not directly impact on the benefits generated. The capital return from the Plan depends on the level of the Index/Indices at maturity and its/their performance throughout the Plan Term, which can be obtained from us or from public sources. We will send you Plan Statements once a year with information on how your Plan is progressing.
3. Capitalised terms unless otherwise defined, have the meanings given to them in the Terms and Conditions within the Plan brochure.

11. YOUR SIGNATURE (Please copy sheet for additional Signatories)

Authorised Signatory		**Date:** ____ / ____ / ____
Full Name:		
Capacity		

Authorised Signatory		**Date:** ____ / ____ / ____
Full Name:		
Capacity		

PLEASE PROVIDE AN UP TO DATE LIST OF AUTHORISED SIGNATORIES (INCLUDING SAMPLE SIGNATURES) WHEN YOU SUBMIT THIS APPLICATION

12. ADVISER SECTION

Name of Registered Individual:

Name of Company:

Address:

POST CODE

Telephone Number: +44

Email Address:

* This email address will be used to access our administration system, therefore we recommend using an email address that all relevant members of your team have access to, if appropriate.

Are you a member of a network? Yes ☐ No ☐ If yes, are you directly authorised ☐ or an authorised representative? ☐

Name of network:

Financial Services Register reference number:

Principal's Financial Services Register reference number (if applicable):

Please tick ONE of the following to confirm.

☐ Tick to confirm this was an advised sale

☐ Tick to confirm this was a non-advised sale with appropriateness

- I declare that the information stated in the application has been completed to the best of my knowledge and believe and I have agreed any adviser charge with the applicant.
- I have provided the investor with a Plan Brochure and Key Information Document.
- I confirm that all dealings with the investor have been carried out in accordance with the requirements of the FCA Handbook and in accordance with my obligations under Causeway Securities' current Terms of Business.
- I confirm that where I have provided the customer with investment advice in relation to the product(s) in accordance with the guidance set out in the Plan documentation, I have assessed the suitability of this product with respect to the customer's investment objectives and circumstances. Where conducting business on a non-advised basis, I have found the Plan to be appropriate for the customer's investment objectives and circumstances.
- I acknowledge my responsibility to evaluate all information on the Plan and confirm that were I have given advice, I have the necessary knowledge and experience to be deemed competent to assess the Plan and its suitability to an applicant's circumstances and investment objectives, and that the applicant matches the description of the 'intended retail investor' in the Plan KID.
- I agree to inform Causeway Securities if the client named in this application form has any specific vulnerabilities we think you should be aware of, or additional communication needs (e.g. documents to be provided in Braille). I will inform Causeway Securities by calling 0800 208 4483 or emailing admin@uk.causeway-securities.com.

☐ Tick to confirm declaration above

Verification of Identity

I confirm that:

- The information was obtained by me in relation to the customer(s);
- The evidence I have obtained to verify the identity of the customer(s): meets the standard evidence set out within the guidance Notes for the UK Financial Sector issued by Joint Money Laundering Steering Group (JMLSG) in 2007;
- I have carried out the appropriate identity checks on all parties relevant to this application and have retained copies of the completed Verification of Identity Certificates and supporting documentation, which I understand Causeway Securities may request at any time and may rely on.

☐ Tick to confirm declaration above

Authorised Signatory		**Date:** ____ / ____ / ____
Full Name:		
Job Title:		

Please return the completed and signed Form to: Causeway Securities Limited, PO Box 1378, St Albans, AL1 9SX

If you have difficulty in reading our literature, please call us on 0800 208 4483. We can supply this in a range of formats including large print, audio & Braille.

PLEASE SEND COMPLETED APPLICATIONS INCLUDING THE REQUIRED SUPPORTING DOCUMENTATION TO:

Causeway Securities Limited,

PO Box 1378, St Albans, AL1 9SX

E: admin@uk.causeway-securities.com

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