

# Defensive Dual Index Plan (FTSE and S&P) – Issue 26 ISA Transfer Authority

Return this form to Walker Crips Structured Investments, Finsbury Tower, 103–105 Bunhill Row, London EC1Y 8LZ.

The closing date for applications is **5pm** on:

**Friday 21 November 2014 for Stocks & Shares ISA transfers** or **Friday 28 November 2014 for Cash ISA transfers**.

If you are already a client of Walker Crips or have previously invested in a Walker Crips Structured Investments Plan please provide your account number:

Please complete this form using **BLOCK CAPITALS** and **black ink**.

## 1. Personal details

Title (Mr/Mrs/Miss/Other)

Surname

Full forenames

Permanent residential address

Post code

Date of birth

Nationality

Telephone

Email address

List all countries you are resident in for tax purposes

National Insurance Number











(You should be able to find your NI number on a payslip, Form P45 or P60, a letter from HMRC, a letter from the DWP or a pension order book.)

## 2. Investment details

i. Total amount being transferred in

£

Cash ISA

Stocks & Shares ISA

ii. Adviser charge deducted (if any)

£

iii. I apply to transfer the following Net Investment Amount

£

(min. £10,000)

### 3. Financial advice and adviser charging

I have received financial advice  I have not received financial advice (please complete Appropriateness section)

Firm name  Adviser name

**Have you paid the adviser charges?**

- Yes, I have paid the adviser charges separately.
- No, I have not paid the adviser charges and would like you to pay the amount detailed in section 2 to my financial adviser. Please note that the maximum charge we are able to facilitate is 4% of your total investment.

**Appropriateness section (must be completed if you have not received advice)**

**Have you ever held any of the following?**

- i. Any investment where the capital and investment returns are variable and are based on the performance of an underlying security or index, such as equities, commodities, indices and corporate bonds.  Yes  No
- ii. A structured investment product (a fixed term investment) such as the one you're applying for.  Yes  No

**Do you understand the following statements?**

- i. You must be prepared to invest for the full Investment Term.  Yes  No
- ii. Should you need to cash the Plan in early, you may get back less than your original amount invested.  Yes  No
- iii. You are prepared to accept some risk to your Capital in return for higher potential returns.  Yes  No
- iv. You may lose some or all of your money.  Yes  No

Please refer to page 10 of the brochure for important points, risks and suitability for guidance on whether this investment is appropriate for you. If you do not answer these additional questions, we will not be able to determine whether this investment is appropriate for you.

### 4. Applicant Declaration

**I hereby certify that:**

I am 18 years of age or over. 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 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 Walker Crips Stockbrokers Limited (WCSB) 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.

I am not a citizen or resident, nor am I acting on behalf of a citizen or resident of the United States of America, and I will not assist any such person to invest in this Plan. Further, I agree to inform you immediately should I/we become a resident or citizen of the United States of America.

The information above is true and correct to the best of my knowledge and belief, and I agree to advise WCSB without delay of any change in my circumstances affecting any of the information on this declaration and authority.

I understand that this brochure and Terms & Conditions are the agreement under which my investment will be managed, and understand for my own protection that I should read them carefully before signing and ask for further information or seek advice about anything which is unclear to me.

I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a Cash ISA and a Stocks & Shares ISA in the same tax year.

I understand that this ISA is subject to the terms and conditions within the brochure and agree thereto.

I authorise WCSB as ISA Plan Manager; to make on my behalf any claims to relief from tax in respect of ISA Investments; to hold, or on my written request, transfer or pay to me, as the case may be, my cash subscriptions, ISA Investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

**Adviser charges**

By signing this application I can confirm that I am in agreement with the adviser charge being deducted as indicated in section 2 and paid to my financial adviser.

My adviser has fully explained their charges to me and I understand that, should I exercise my cancellation rights after the adviser charge has been paid, WCSB will not return any adviser charges to me. I will need to contact my financial adviser regarding any refund.

I understand that WCSB is simply facilitating adviser charges and any queries regarding these payments will need to be discussed with my financial adviser.

Signature   
(1 of 2)

Date

**Applications must be submitted via an authorised intermediary**

### 5. Financial adviser declaration (THIS SECTION MUST BE COMPLETED IN FULL)

Where I have provided advice and made a personal recommendation to the investor(s) in accordance with the FCA Handbook, I confirm that I have assessed the suitability of this product in relation to my client's circumstances and investment objectives.

Where no advice has been given and the investor is undertaking an execution only investment, I confirm that I have assessed the appropriateness of this investment in accordance with the FCA Handbook.

I declare that this application form has been completed to the best of my knowledge and belief and I have fully disclosed any adviser charge, if applicable, to the investor. I understand that any adviser charge being facilitated will be paid after the start date of the Plan subject to a fully completed Terms of Business agreement being in place.

I confirm that the details listed in Section 1 have been obtained by me. I have retained a completed Identity Verification Certificate (IDVC) and documentary evidence for all parties relevant to this application that meets or exceeds the standards set out in the JMLSG guidance. I have seen all original documents and those requiring a signature have been signed. I acknowledge that Walker Crips will rely upon this confirmation for the purposes of Regulation 17 of The Money Laundering Regulations 2007 and that the IDVC and relevant supporting documents will be provided on request.

Company name	Adviser signature
Adviser name	
Address or adviser company stamp	
Post code	Contact number
	FCA number

## 6. Existing ISA transfer request

I apply to transfer the following amount to the Defensive Dual Index Plan (FTSE and S&P) – Issue 26.

Please complete (a) or (b) as required. Approx. value

(a) I wish to transfer my 2014/15 tax year ISA

(b) I wish to transfer ISA(s) from previous tax years

Total transfer value

**The transfer to be in the form of cash.**

**If you are transferring more than one ISA, this form can be copied or additional forms can be supplied.**

### ISA Holder

Title (Mr/Mrs/Miss/Other)	Surname
Full forenames	
Permanent residential address	
Post code	

### Existing ISA Manager

Plan Manager's name	
Plan Manager's address	
Post code	
Telephone	Email address
Stocks & Shares ISA ref. number(s)	
Cash ISA ref. number(s) (to transfer to a Stocks & Shares account)	

I hereby authorise you to sell the assets and to send the proceeds in cash, together with any interest, dividends, rights and cash within the Plan to Walker Crips Stockbrokers Limited, an HMRC Approved Plan Manager, and I authorise you to provide Walker Crips Stockbrokers Limited with all such relevant information relating to my Plan(s) as may be required. If you are not in a position to transfer my cash proceeds by **Friday 12 December 2014** please cancel my request and reinstate my ISA.

**Signature**  
(2 of 2)

**Date**

All correspondence should be sent to: Walker Crips Structured Investments, Finsbury Tower, 103–105 Bunhill Row, London EC1Y 8LZ.

The deadline for receiving the ISA transfer proceeds is **5pm on Friday 12 December 2014**.