

## Application form for Direct investment and/or Stocks & Shares ISA investment

This application form is for investment into the following **Walker Crips** plan:

- Defensive Dual Index Plan (UK & US) Issue 37

**The closing date for applications is Friday 7 October 2016.**

This application form can be used for new investment and to invest proceeds from a matured plan held with Walker Crips.

### Funding the investment

- I have attached a cheque made payable to 'Walker Crips Stockbrokers Limited'
- I am making a bank transfer to the following bank details
- |                |   |
|----------------|---|
| Account Name   | Walker Crips Stockbrokers Limited                                       |
| Bank           | HSBC Bank PLC   |
| Sort code      | 40-05-30  |
| Account Number | 40025232  |
| Reference      | Please quote your surname and/or Walker Crips account number (if known) |
- I am using proceeds from a matured plan held with Walker Crips

### Application sections

**Please ensure all of the following sections are fully completed**

- 1 Personal details
- 2 Bank details
- 3 Investment details
- 4 Financial advice and adviser charging
- 5 Applicant declaration
- 6 Financial adviser declaration

### Contact

**For any queries please contact:**

Email wcsi@wcgplc.co.uk  
Telephone 020 3100 8880  
Fax 020 3100 8822

**Address for all correspondence:**

Walker Crips Structured Investments  
Finsbury Tower  
103–105 Bunhill Row  
London  
EC1Y 8LZ

## 1. Personal details

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:

### First applicant

Title (Mr/Mrs/Miss/Other)

Surname

Full forenames

Permanent residential address

Post code

Date of birth

Telephone

Nationality

Email address

Country of birth

Place of birth

	Yes	No
Are you resident in the UK for tax purposes?	<input type="checkbox"/>	<input type="checkbox"/>
National Insurance Number	<input type="checkbox"/>	<input type="checkbox"/>
<small>(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.)</small>		

	Yes	No
Are you a US citizen?	<input type="checkbox"/>	<input type="checkbox"/>
Are you resident for tax purposes in any other country than the UK?	<input type="checkbox"/>	<input type="checkbox"/>
If you have answered yes to either of the above, please provide the country(ies) and Tax Identification Number(s):		
Country(ies)	Tax Identification Number(s)	
<input type="text"/>	<input type="text"/>	
<input type="text"/>	<input type="text"/>	

### Joint applicant (for direct investments ONLY)

Title (Mr/Mrs/Miss/Other)

Surname

Full forenames

Nationality

Date of birth

Country of birth

Place of birth

	Yes	No
Are you resident in the UK for tax purposes?	<input type="checkbox"/>	<input type="checkbox"/>
National Insurance Number	<input type="checkbox"/>	<input type="checkbox"/>
<small>(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.)</small>		

	Yes	No
Are you a US citizen?	<input type="checkbox"/>	<input type="checkbox"/>
Are you resident for tax purposes in any other country than the UK?	<input type="checkbox"/>	<input type="checkbox"/>
If you have answered yes to either of the above, please provide the country(ies) and Tax Identification Number(s):		
Country(ies)	Tax Identification Number(s)	
<input type="text"/>	<input type="text"/>	
<input type="text"/>	<input type="text"/>	

## 2. Bank details

Please provide the details of your bank/building society account that you would like any payments to be made into, either during the investment term or following maturity:

Bank/Building Society name

Account name

Sort code

--

Account number

Reference

### 3. Investment details

#### New Investment

##### Direct Investment

- i. Total amount being sent (e.g. amount on cheque)  £
- ii. Adviser charge deducted (if any)  £
- iii. I/We apply to subscribe the following net investment amount  £ (min. £10,000)

##### 2016/17 Stocks & Shares ISA Investment

- i. Total amount being sent (e.g. amount on cheque)  £
- ii. Adviser charge deducted (if any)  £
- iii. I apply to subscribe the following amount to a Stocks & Shares ISA Investment for the tax year 2016/17  £ (min. £10,000 max. £15,240)

#### Investment using Maturity Proceeds

Matured Plan name

Is the matured Plan a  Direct or  Stocks & Shares ISA

- i. Total amount of my/our maturity proceeds Full amount  (Please tick)  
Partial amount  £
- ii. Adviser charge deducted (if any)  £
- iii. I/We apply to subscribe the following net investment amount  £ (min. £10,000)

If you wish to fund your 2016/17 Stocks & Shares ISA subscription with proceeds from a matured (non ISA) plan, please tick this box  and complete your subscription by indicating the amount in the section above: 'New Investment - 2016/17 Stocks & Shares ISA Investment'.

### 4. Financial advice and adviser charging

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

Firm name  Adviser name

#### Have you paid the adviser charges?

- Yes, I/we have paid the adviser charges separately.
- No, I/we have not paid the adviser charges and would like you to pay the amount detailed in section 3 to my/our 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 are 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 the page in the brochure titled 'Is this Plan right for me?', 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.

## 5. Applicant declaration

**I/We hereby certify that:**

I/We am/are 18 years of age or over. All subscriptions made, and to be made, belong to me/us.

I/We am/are 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/We am/are married to, or in a civil partnership with, a person who performs such duties. I/We will inform Walker Crips Stockbrokers Limited (WCSB) if I/We 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/We am/are not a resident, nor am/are I/we acting on behalf of a resident of the United States or a US Person(s), and I/we will not assist any such person to invest in this Plan. Further, I/we agree to inform you immediately should I/we become a resident of the United States or a US Person.

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

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

**First applicant**

Signature

Date

**If I have subscribed to an ISA I confirm that:**

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 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.

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/we can confirm that I/we am/are in agreement with the adviser charge being deducted as indicated in section 3 and paid to my/our financial adviser.

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

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

**Joint applicant**

Signature

Date

### Applications must be submitted via a financial adviser

## 6. 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(s). 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 I have retained 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 an Identity Verification Certificate (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

Finsbury Tower, 103-105 Bunhill Row, London EC1Y 8LZ  
020 3100 8880 | [wcsi@wcgplc.co.uk](mailto:wcsi@wcgplc.co.uk) | [www.wcgplc.co.uk/wcsi](http://www.wcgplc.co.uk/wcsi)

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