

Application form for ISA Transfer Authority

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

- ☐ Semi-Annual Step Down Kick-out Plan Issue 5
- ☐ UK & US Semi-Annual Step Down Kick-out Plan Issue 3

The closing date for applications is Friday 24 November 2017 for Stocks & Shares ISA transfers or Friday 1 December 2017 for Cash ISA transfers.

If you wish to invest into more than one plan, please use a separate application form for each plan. This application form can **not** be used to invest 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 selection
- 4 Investment details
- 5 Financial advice and adviser charging
- 6 Applicant declaration
- 7 Financial adviser declaration
- 8 Existing ISA transfer request

Contact

For any queries please contact:

Website www.wcgplc.co.uk/wcsi
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:

Title (Mr/Mrs/Miss/Other)

Surname

Full forenames

Permanent residential address

Postcode

Date of birth

Telephone

Nationality

Email address

Country of birth

Place of birth

Are you resident in the UK for tax purposes? Yes ☐ No ☐

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.)

	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 selection

Please select the Plan you wish to invest into. If you wish to invest into more than one plan, please use a separate application form for each plan.

- ☐ Semi-Annual Step Down Kick-out Plan Issue 5
- ☐ UK & US Semi-Annual Step Down Kick-out Plan Issue 3

4. Investment details

New Investment

Please indicate the type of ISA you are transferring

☐ Cash ISA

☐ Stocks & Shares ISA

i. Total amount being transferred in

£

ii. Adviser charge deducted (if any)

£

iii. I apply to transfer the following net investment amount

£

(min. £10,000)

5. Financial advice and adviser charging

☐ **I/We have received financial advice**

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 4 to my/our financial adviser. Please note that the maximum charge we are able to facilitate is 4% of your total investment.

☐ **I/We have not received financial advice** All applications must be submitted via a financial intermediary (e.g. an FCA regulated financial adviser, investment manager or execution only broker). If you do not have a financial intermediary please contact us before submitting an application.

6. 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 resident, nor am I acting on behalf of a resident of the United States or a US Person(s), and I will not assist any such person to invest in this Plan. Further, I agree to inform you immediately should I become a resident of the United States or a US Person.

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 any combination of permitted ISAs in the same tax year. 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 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 4 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 a financial intermediary (e.g. an FCA regulated financial adviser, investment manager or execution only broker).

7. Financial intermediary declaration (THIS SECTION MUST BE COMPLETED IN FULL)

Where I have provided advice and made a personal recommendation to the investor, I confirm that I have assessed the suitability of this product in relation to the investor's individual circumstances and investment objectives in accordance with COBS 9.

Where the investor is making a non-advised investment, I confirm that I have assessed the appropriateness of this product in relation to the investor's investment knowledge and experience in accordance with COBS 10.

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 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	Financial intermediary signature
Adviser name	
Address or adviser company stamp	
Postcode	Contact number
	FCA number

8. Existing ISA transfer request

I apply to transfer the following amount to Walker Crips Structured Investments

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

(a) I wish to transfer my 2017/18 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

Postcode

Existing ISA Manager

Plan Manager's name

Plan Manager's address

Postcode

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 15 December 2017** 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 on **Friday 15 December 2017**.