

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

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

- Semi-Annual Step Down Kick-out Plan (August 2017)

**The closing date for applications is Friday 28 July 2017.**

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 selection
- 4 Investment details
- 5 Financial advice and adviser charging
- 6 Applicant declaration
- 7 Financial intermediary declaration

### 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:

### 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  |  |                              |                          |
| Are you resident in the UK for tax purposes?  |  | Yes                          | No                       |
|   |  | <input type="checkbox"/>     | <input type="checkbox"/> |
| 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.) |  |                              |                          |
| Are you a US citizen?   |  | Yes                          | No                       |
|   |  | <input type="checkbox"/>     | <input type="checkbox"/> |
| Are you resident for tax purposes in any other country than the UK?   |  | Yes                          | No                       |
|   |  | <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  |  |                              |                          |
| Are you resident in the UK for tax purposes?  |  | Yes                          | No                       |
|   |  | <input type="checkbox"/>     | <input type="checkbox"/> |
| 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.) |  |                              |                          |
| Are you a US citizen?   |  | Yes                          | No                       |
|   |  | <input type="checkbox"/>     | <input type="checkbox"/> |
| Are you resident for tax purposes in any other country than the UK?   |  | Yes                          | No                       |
|   |  | <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 | <input type="text"/>  | Account name   | <input type="text"/>  |
| Sort code                  | <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> | Account number | <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> |
| Reference                  | <input type="text"/>  |                |   |

### 3. Investment

Semi-Annual Step Down Kick-out Plan (August 2017)

#### 4. Investment details

## New Investment

## Direct Investment

i. Total amount being sent (e.g. amount on cheque)

|   |
|---|
| f |
|---|

ii. Adviser charge deducted (if any)

|   |
|---|
| f |
|---|

iii. I/We apply to subscribe the following net investment amount

|   |  |
|---|--|
| f |  |
|---|--|

(min. £10,000)

### 2017/18 Stocks & Shares ISA Investment

i. Total amount being sent (e.g. amount on cheque)

|   |  |
|---|--|
| f |  |
|---|--|

ii. Adviser charge deducted (if any)

|   |  |
|---|--|
| £ |  |
|---|--|

iii. I apply to subscribe the following amount to a Stocks & Shares ISA Investment for the tax year 2017/18

|   |  |
|---|--|
| f |  |
|---|--|

(min. £10,000  
max. £20,000)

### 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

|   |
|---|
| f |
|---|

(min. £10,000)

If you wish to fund your 2017/18 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 - 2017/18 Stocks & Shares ISA Investment'.

## 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 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 Walker Crips Stockbrokers Limited (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.

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

I am 18 years of age or over. All subscriptions made, and to be made, belong 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 am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of The

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 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 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.

### First applicant

Signature

Date

### Joint applicant

Signature

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 |                                  |
| 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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