

Individual Savings Account (ISA) Application Form

1. Who is this Account for?

Account holder

Title:

Date of birth: | D | D | M | M | Y | Y |

First name(s):

Permanent residential address:

Surname:

Postcode:

Account holder additional details

Marital status:

Domicile:

Gender:

Male ☐

Female ☐

Do you have a National Insurance Number?

Yes ☐

No ☐

Country of birth:

If yes, you must enter it here:

Residency for tax purposes:

ISA regulations require that if you have a National Insurance Number you must provide it.

Account holder contact details

Home telephone:

Mobile telephone:

Other telephone:

Email:

Please provide an email address if you wish to access your Account online.

2. Nationality

You are a national of any country for which you hold a passport (or could, if you applied for one). Failure to provide this information will mean your transaction will be rejected.

UK nationals

I confirm I am a national of the United Kingdom

☐

My National Insurance Number is:

Dual and other nationals

Please tell us any other country or countries of which you are a national. If you have more than two nationalities we only need to know about the two you most frequently use (including your UK nationality where applicable). We also require your Personal Identifier. You can find this information on the *Personal Identifier Reference List*.

Country	Your Personal Identifier

3. Personal security data

For security purposes we ask all our clients to provide us with two pieces of memorable data. It is important that the information provided here is remembered by you as it may be requested by us in the future for security reasons.

Memorable place:

Favourite object:

4. Correspondence and administration

Paperless correspondence

If you enable your account for online access you have the option to receive all correspondence from us electronically.

I would like to receive the following correspondence electronically:

Contract Notes

Yes ☐ No ☐

Corporate Action Notification

Yes ☐ No ☐

Statements (if applicable)

Yes ☐ No ☐

4. Correspondence and administration (continued)

Instructions from third parties

If you wish to authorise a third party to provide instructions to us then please provide the details below.

Do you want us to accept instructions from a third party?

Yes ☐ No ☐

Please move to Section 5 if you do not wish to authorise a third party.

Please note that UK anti-money laundering legislation require us to obtain proof of identity/address documentation in respect of any third party that exercises control over the account. We may need to contact you for further information.

If the person you wish to authorise is registered with Stocktrade please provide their person code.

Person code:

Email:

Contact name:

Telephone:

Name of firm
(if applicable):

Date of birth (individuals only):

| D | D | M | M | Y | Y |

Address:

Postcode:

5. Payments and withdrawals

Bank details

It is our policy to obtain the details of your bank account. Please complete the following section with your bank account details even if you are not transferring the initial funds to us from this account.

Account name:

Account number:

Name of bank or
building society:

Building society
roll number:

Branch:

Sort code:

| | | | | | |

Address:

Postcode:

For Bank Accounts outside the UK please provide:

IBAN number:

City:

Country:

Source of funds/wealth

Please confirm the source of funds and the source of wealth in relation to this account.

Source of funds:

e.g. Personal bank account in your name, transfer of assets from an FCA authorised firm, etc.

Source of wealth:

e.g. Salary, inheritance, sale of main residence, etc.

Income instructions

Please select how you would like us to handle your dividend and bond interest. Dividend income will be moved from your income account on a monthly basis please indicate a preference below. Please note dividend income will not be counted as a subscription toward your ISA allowance.

Retain funds as cash held on account

☐

Buy additional shares with income

☐

Pay to my bank account

☐

6. Confirmation of your identity

We have responsibilities under UK anti-money laundering legislation to confirm the identity and permanent address of our Clients. Where you are resident in the United Kingdom, we will undertake an electronic anti-money laundering check of the personal data you have provided. The check will be undertaken via a reputable referencing agency, which will retain a record of this check. Where an electronic check of personal data is not appropriate or suitable or for UK clients where we are unable to verify your identity electronically you will be asked to provide documents to verify your personal details. These will generally be a certified copy of your passport and driving licence or other acceptable documents, details of which can be supplied on request. We also have responsibilities under these laws to confirm the identity and permanent address of any third party or beneficial owner connected to your portfolio. You confirm that where requested this information will be provided promptly and will be accurate. We reserve the right not to make payments if they are to be made to third parties or to bank accounts not in your name(s), or held in a jurisdiction outside of the EU.

7. Declaration and acceptance of terms

Marketing information

Occasionally Stocktrade would like to contact you and keep you informed about products or services which we believe may be of interest. By providing your contact details and signing below, you consent to receiving such information.

Please tick here if you do not wish to receive such information from Stocktrade.

Yes ☐ No ☐

We are committed to maintaining the personal information that you provide to us in accordance with the requirements of data protection/data privacy legislation. Details of our Privacy Policy can be found at www.stocktrade.co.uk. We will treat your information as private and confidential and your details, including dealings with us, will not be disclosed to anyone except where we or any third party acting on our behalf are legally compelled or permitted to do so or otherwise as agreed with you. The information you provide on your application form (or afterwards) will be held and processed by us as data controller for the purposes of the Data Protection Act 1998. We may hold and process your information for the administration of the service(s) for which you are currently applying or may apply for in the future, for the operation of your investment (including, for example, for registration and distribution purposes), for the purposes of preventing fraud and money laundering, carrying out statistical analysis. Your personal information may be passed to and used by companies within the Alliance Trust group and third parties including credit referencing, tax, regulatory and law enforcement agencies and our agents and sub-contractors who administer or process the information on our behalf. This may include the transfer of your information overseas to countries where different levels of data protection apply. Where an authorised financial adviser acts on your behalf, we may disclose information concerning your investment to that financial adviser. Other than as noted above, we will not provide any other third party with any information about you unless you have given your consent or unless we are required to do so by law. We will never sell, rent or trade your personal information to a company outside those described above without your permission. You have the right to access the information we hold about you at any time to check whether it is accurate and up-to-date. Such access may be subject to the payment of a fee. Please contact our Compliance Officer for these purposes.

Order Execution and Conflicts policies

You will have received summaries of our *Order Execution Policy* ("OEP") and *Conflicts Policy*.

Our OEP specifies that when we believe it is in your best interests we may execute transactions outside regulated markets and multilateral trading facilities such as a trade on an "over the counter" (OTC) basis with a market participant. Part 5 of the Policy has further details.

The OEP also allows us to exercise our discretion as to whether or not to publish limit orders depending on whether we believe it is in your best interests.

We strongly believe that it is in your interests that you accept our OEP as it better enables us to get the best outcomes for you. We would ask that you read the summary of the *Order Execution Policy*, and provide express consent to it by signing the Declaration below.

Signature:

Date:

| D | D | M | M | Y | Y |

Print name:

Appendix

Power of Attorney (Person to whom the Power of Attorney has been granted)

Please note that UK anti-money laundering legislation require us to obtain proof of identity and address documentation in respect of all named Powers of Attorney. Please contact Stocktrade for further information.

Account holder name:

Have you granted a Power of Attorney that is currently in operation?

Yes ☐ No ☐

Please indicate below the type of Power of Attorney and attach a copy for our records.

England and Wales only: Ordinary ☐ Enduring ☐ Lasting ☐

Scotland only: General ☐ Continuing ☐ Welfare ☐

Northern Ireland only: Enduring ☐

Power of Attorney's contact details

Title:

Date of birth: | D | D | M | M | Y | Y |

First name(s):

Permanent residential address:

Surname:

Postcode:

If there are further Power of Attorney details to be provided, please contact Stocktrade, who will provide additional sheets for completion.

PO Box 164
8 West Marketgait
Dundee, DD1 9YP

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www.stocktrade.co.uk

Stocktrade is a trading name of Alliance Trust Savings Limited, which is a subsidiary of Alliance Trust PLC and is registered in Scotland No. SC 98767, registered office, PO Box 164, 8 West Marketgait, Dundee DD1 9YP; is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority, firm reference number: 116115. Stocktrade gives no financial or investment advice. Calls may be recorded for training and security purposes.

ATS ISA F 0019

ISA Opening Form

1. Subscribing to your ISA

Account
holder name: _____

I apply to subscribe to a Stocktrade Execution Only Stocks and Shares ISA, for tax year: 2 0 | | / 2 0 | |

and for each subsequent tax year until I advise Stocktrade to the contrary, i.e. this is a 'continuous' application.

Existing ISA client code
(if applicable): _____

2. Funding your ISA

Value to be subscribed: £ _____

The maximum you may subscribe to an ISA in the 2017/18 tax year is £20,000. Please see the *ISA Key Facts* document for more information. Please remember, any subscriptions you make to a Cash, Innovative, or Lifetime ISA count towards the overall ISA subscription limit.

By transfer from Save As You Earn (SAYE) ☐

3. Declaration and authority

I declare that:

1. I am 18 years of age or over.
2. I have not subscribed/made payments, and will not subscribe/make payments, more than the overall subscription/payment limit in total to any combination of permitted ISA types in the same tax year.
3. I have not subscribed and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA, and
4. 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 and Pensions) Act 2003 (Crown employees serving overseas), are treated as being duties performed in the UK, or I am married to or in a civil partnership with a person who performs such duties. I will inform Alliance Trust Savings Limited 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.
5. All subscriptions made, and to be made, belong to me.
6. I have received Stocktrade's ISA documentation which includes the standard terms and conditions governing the ISA services to be provided to me (comprising the supplementary ISA Terms and Conditions, Order Execution and Conflicts Policies together with the applicable Rate Card) and I shall seek clarification promptly if there is anything that I do not understand.

7. The information that I have given on this form is complete and correct to the best of my knowledge and belief. I will inform Stocktrade without delay of any change in my circumstances affecting any of the said information.
8. I will be the beneficial owner of the shares and units held in my Account.
9. I agree to the *ISA Terms and Conditions*.


I authorise Alliance Trust Savings Limited (the ISA manager):

1. To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
2. To make on my behalf any claims to relief from tax in respect of ISA investments.
3. On my written request, to transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

You should read carefully the above declaration and authority before you sign this form. If there is anything you do not understand, you should request further information. By signing this form, you confirm both the declaration and authority.

Please tick this box to acknowledge that you have read the *FSCS Information Sheet* including exclusions to the depositor protection scheme and kept it for future reference. ☐

Account holder

Signature:  _____

Date: D D | M M | Y Y

Print name: _____

Use of personal information

We will treat all personal information obtained from you in accordance with applicable legislation governing the use of such information, including the Data Protection Act 1998 (as amended). For further information about the ways in which we may use your personal information, please refer to the *ISA Terms and Conditions*.

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