



If you have any questions, please contact our Client Services Team on
01382 573737
 or contact@alliancetrust.co.uk

Investment Dealing Account

Trust Application form

Alliance Trust Savings use only

Please complete in block capitals and black ink

Correspondence will be sent to the first named authorised person at the address given in section 1 of this application form. Your Account will be governed by the terms of your completed Application, our Table of Charges and our Terms and Conditions which can be found at www.alliancetrustsavings.co.uk

We regret that we cannot accept applications from applicants who are (1) US Persons or (2) applying on behalf of US Persons or (3) non-UK resident (including those who have more than one country of tax residency). For a definition of 'US Person', please refer to the glossary section of our website at: www.alliancetrustsavings.co.uk

For guidance on how to complete this Application Form, please refer to the notes at the end of this Application Form.

1 Trust details

If the Trust is already an Alliance Trust Savings client please provide the Client Reference Number

Trust's registered name

Trust's HMRC number

Nature of Trust and source of cash

Trust's principal address

Country of establishment (please tick)

United Kingdom

Yes

No

If no, please name country of establishment

Postcode

Country of tax residency

Are you a Specified Person in your country of tax residency?

Yes

No

Tax Reference Number

For applicants with no tax residence, please contact our Client Services Team to discuss.

Classification under Tax Regulations. Please tick one box only in this section with reference to the country of tax residency indicated above:

Exempt Beneficial Owner

Participating Foreign Financial Institution

Non-Participating Foreign Financial Institution

UK Financial Institution or Partner Jurisdiction Financial Institution

Financial Institution resident in the USA or in a US Territory

Active Non-Financial Foreign Entity

Deemed Compliant Foreign Financial Institution (beside those noted above)

Passive Non-Financial Foreign Entity*

* We will require you to submit individual tax residence certifications for each of your Controlling Persons.

A true copy of the Trust Deed and trustee appointments accompany this application

The latest accounts for the Trust accompany this application

Yes

No

The auditors for the Trust are:

1 Trust details (continued)

Are there any settlors/grantors (if not the trustees) of the Trust?

Yes

No

If yes, please give details

Title

Permanent residential address

Surname

Forenames

Date of birth

DD	MM	YYYY
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Town/City

Country

Are you a Specified Person in your country of tax residency?

Yes

No

Postcode

For applicants with no tax residence, please contact our Client Services Team to discuss.

National insurance number

Are there any anonymous beneficiaries of the Trust?

Yes

No

If yes, please give details

Authorised Persons

Each person is properly authorised by the Trust, in accordance with its corporate governance, to operate the Investment Dealing Account on behalf of the Trust. **All correspondence will be sent to the Trust address, for the attention of the Authorised Person. You may nominate up to two Authorised Persons.**

Title

Nationality

Surname

Mobile phone number

Forename(s)

Date of birth

DD	MM	YYYY
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Permanent residential address

Daytime phone number

Postcode

Email address

Second Authorised Person (if required)

Title

Nationality

Surname

Mobile phone number

Forename(s)

Date of birth

DD	MM	YYYY
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Permanent residential address

Daytime phone number

Postcode

Email address

1 Trust details (continued)

Trustees

Please provide details on each trustee. (If there are more trustees, please attach an additional sheet)

Is the Trust or any Trustee regulated by a regulator or body?

 Yes No

If yes, please give details

(Continue on separate sheet)

Individual Trustee

Title	<input type="text"/>	Permanent residential address	<input type="text"/>
Surname	<input type="text"/>		<input type="text"/>
Forename(s)	<input type="text"/>		<input type="text"/>
Date of birth	<input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YYYY"/>	Postcode	<input type="text"/>
Are you solely resident in the UK for tax purposes?	<input type="checkbox"/> Yes <input type="checkbox"/> No	National insurance number	<input type="text"/>

For applicants with no tax residence, please contact our Client Services Team to discuss.

Individual Trustee

Title	<input type="text"/>	Permanent residential address	<input type="text"/>
Surname	<input type="text"/>		<input type="text"/>
Forename(s)	<input type="text"/>		<input type="text"/>
Date of birth	<input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YYYY"/>	Postcode	<input type="text"/>
Are you solely resident in the UK for tax purposes?	<input type="checkbox"/> Yes <input type="checkbox"/> No	National insurance number	<input type="text"/>

For applicants with no tax residence, please contact our Client Services Team to discuss.

Corporate Trustee

Corporate Trustee registered name	<input type="text"/>		
Corporate Trustee registered number	Registered office	<input type="text"/>	
Corporate Trustee principal address	Country of tax residence	<input type="text"/>	
	Tax reference number	<input type="text"/>	
Postcode	<input type="text"/>		

1 Trust details (continued)

Beneficiary

Please provide details of shareholders/members who hold 25% interest in the Trust fund by themselves or in connection with others. (If there are more beneficiaries, please attach an additional sheet)

Title	<input type="text"/>	Permanent residential address	<input type="text"/>
Surname	<input type="text"/>	<input type="text"/>	<input type="text"/>
Forename(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
% of interest held at date of application	<input type="text"/> %	Postcode	<input type="text"/>
Are you solely resident in the UK for tax purposes?*	<input type="checkbox"/> Yes <input type="checkbox"/> No	Date of birth	<input type="text"/> DD <input type="text"/> MM <input type="text"/> YYYY
		Tax Reference Number	<input type="text"/>

For applicants with no tax residence, please contact our Client Services Team to discuss.

* Beneficiaries are only required to answer this question and provide Tax Reference Numbers where it has been confirmed that the entity is a Passive Non-Financial Foreign Entity.

Title	<input type="text"/>	Permanent residential address	<input type="text"/>
Surname	<input type="text"/>	<input type="text"/>	<input type="text"/>
Forename(s)	<input type="text"/>	<input type="text"/>	<input type="text"/>
% of interest held at date of application	<input type="text"/> %	Postcode	<input type="text"/>
Are you solely resident in the UK for tax purposes?*	<input type="checkbox"/> Yes <input type="checkbox"/> No	Date of birth	<input type="text"/> DD <input type="text"/> MM <input type="text"/> YYYY
		Tax Reference Number	<input type="text"/>

For applicants with no tax residence, please contact our Client Services Team to discuss.

* Beneficiaries are only required to answer this question and provide Tax Reference Numbers where it has been confirmed that the entity is a Passive Non-Financial Foreign Entity.

2 Is the Account to have a designation?

If you hold several Investment Dealing Accounts, it may be easier for you to differentiate them with a designation. For example, if you hold an Account for a specific purpose, you may identify the Account with a particular title, e.g. 'the first child's interest' or 'the firm's investment account'. Each Account held will incur a quarterly administration charge. Please see our Table of Charges for more details, which is available within the Forms & Documents section at www.alliancetrustsavings.co.uk.

Please state the designation (name)	<input type="text"/>
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3 May we disclose information to anyone else?

If you wish us to disclose information about your Account to a third party when they ask for it, please give details in this section.

Any third party you authorise will be given a Personal ID and password to allow them online view only and telephone access to the Account.

Name	<input type="text"/>	Please send duplicate contract notes to the person named* (please tick)	<input type="checkbox"/>
Address	<input type="text"/>	Please state relationship to you	<input type="text"/>
	<input type="text"/>		
Postcode	<input type="text"/>		

* Unless you have asked us to send this person duplicate contract notes, we will only respond to information requests from them when they ask for it.

This disclosure authority only applies to this Account. Please note that if instructions are to be accepted from anyone other than you to operate your Account, a Power of Attorney or Third Party Authority form must be submitted. The Third Party Authority Form may be obtained by contacting our Client Services Team on 01382 573737 or contact@alliancetrust.co.uk, or from the Forms & Documents section at www.alliancetrustsavings.co.uk.

5 Investment instructions (continued)

Notes

1 Investment

Enter the full name and class of each investment you wish to make. This is important as there may be different classes available.

Please also quote the MEX code which you can find in the relevant investment choice list available within the Forms & Documents section at www.alliancetrustsavings.co.uk.

To allocate your cash to your Deposit Account or Online Dealing Account, enter 'deposit' or 'online'.

2 Payment amount

Lump Sum - please enter the amount you wish to allocate to each investment.

Direct Debits - please indicate the percentage you wish to allocate to each investment and ensure they add to 100%.

3 Income options

Any income received from each investment will automatically be used to purchase more of the same investment when your Minimum Purchase Level (see below) is reached, unless you wish to:

- use it to purchase another investment - enter name and MEX code
- direct it to your Deposit Account - enter 'deposit'
- direct it to your Online Dealing Account - enter 'online'
- have income paid to your bank account - enter 'cash' and complete section 5.

4 How we will place your order

We will carry out your investment instructions once your Account is opened.

We may buy your investments for you along with other client instructions as part of the same deal. We will take all reasonable steps to ensure the purchase is dealt on the best terms generally available in the market for transactions of a similar size and nature at the time of execution, as described in our Order Handling Policy. This may work to your advantage or disadvantage.

Minimum Purchase Levels

When cash in your Security Account reaches the Minimum Purchase Level we will automatically purchase more of the same investments for you. The default level is £100 but if you wish to select a different amount please tick below. The level you select will apply to all investments in your Investment Dealing Account. You can change the levels at any time by completing an Investment Dealing Account Instruction form.

£150 £300 £500

Purchasing Funds

If you wish to invest in a fund (an OEIC, ETF or unit trust) you must confirm that you have read an up-to-date version of the Key Investor Information Document (KIID) for each fund in which you want to invest, as well as the Supplementary Information Document (SID) and in addition, confirm that you are not a US Person or applying on behalf of a US Person. Please tick both boxes below.

Copies of the fund KIIDs and SIDs can be found in the Investment Selector/Investment Information section of our website at www.alliancetrustsavings.co.uk or are available from the fund provider directly.

I confirm that I have read the relevant KIID(s) and SID(s) for the fund(s) in which I wish to invest. **and** I confirm that I am not a US Person or applying on behalf of a US Person.

6 Withdrawing Income

If you choose to have income paid to you in section 9 instead of income being reinvested, please enter your bank details below.

If you wish to use the same bank account details as your Direct Debit, please tick this box

Name and full postal address of your bank

Postcode

Name of account holder
Branch sort code
Bank account number

Please select your preferred payment frequency.

Please pay income to my bank (please tick) Monthly Quarterly
Half-yearly Yearly

Commencing in (month)

7 Data Protection and Privacy

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.alliancetrustsavings.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, and the marketing of goods and services by us or other companies in the Alliance Trust group.

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.

Alliance Trust group of companies may use your information to tell you about our products, services and offers and those of our partners that may interest you. This includes, but is not

limited to, free or discounted trading, cashback incentives and other offers we may have from time to time. You can stop communications at any time by calling our client services team.

Do not send me updates:

By email By post

I understand this means I will receive no information on offers or any other marketing incentives that may be of interest to me. I understand I will still receive service communications.

Please contact our Client Services Team for an up to date list of the current members of the Alliance Trust group or if you wish to stop receiving marketing material.

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.

8 Declaration to Alliance Trust Savings and Signature

Note: Alliance Trust Savings Limited provides an execution only service and does not provide investment advice.

1. We have been given the opportunity to review the Table of Charges and Terms and Conditions ("Governing Documents") applicable to the Investment Dealing Account.
2. We apply for an Investment Dealing Account and confirm that we will be bound by the Governing Documents as they apply to our Investment Dealing Account.
3. We are the beneficial owner(s) of the Investment Dealing Account.
or
3. We have named below the beneficial owner(s) of the Investment Dealing Account and confirm that they are over the age of 18 and are known to us and we undertake to make those named below aware that they may be subject to the same data protection and identity verification provisions as outlined in this Application Form:

Surname	<input type="text"/>			
Forename(s)	<input type="text"/>			
Address	<input type="text"/> <input type="text"/> <input type="text"/>			
Postcode	<input type="text"/>			
Date of birth	<table><tr><td>DD</td><td>MM</td><td>YYYY</td></tr></table>	DD	MM	YYYY
DD	MM	YYYY		

4. We confirm that:

- all payments made and to be made to our Investment Dealing Account are and will belong to us or be from a person authorised by us;
- the information given by us in this application is true and correct to the best of our knowledge and belief;
- we will inform you without delay of any changes to the particulars given in this Application Form and any other changes which may affect our ability to hold an Investment Dealing Account; and
- the Trust is resident in the United Kingdom.

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.

Signature (authorised person one)	<input type="text"/>
Signature (authorised person two)	<input type="text"/>

5. We authorise you to:

- hold payments, investments, interest, dividends and any other rights or proceeds in respect of those investments, and any other cash under our Investment Dealing Account with you, subject to the Governing Documents;
- on our authenticated request, and subject to the Governing Documents, transfer or pay to us, as the case may be, investments, interest, dividends, rights or proceeds in respect of those investments, or any cash;
- create additional Accounts for us as appropriate for the delivery of Services or receiving payments using the details contained in this application, as updated by us as appropriate;
- if we do not already have a Personal ID and password, issue us with one on acceptance of this application so that we may use the Services that need our authentication; and
- act on instructions given under that Personal ID and password or replacement authentication for any of your Services that need prior authentication.

6. We consent to your processing of our personal information as described in section 7 above and in the Terms and Conditions and we understand and agree that you may transfer our personal information to third parties including, credit referencing, tax, regulatory and law enforcement agencies and agents and sub-contractors who administer or process the information on your behalf and that this may include the transfer of your information overseas to countries where different levels of data protection apply.

7. We confirm that, upon request, we will provide you or your agent with any further information reasonably required to verify our identity or required by you to comply with your obligations to any tax, regulatory or law enforcement agency.

8. We authorise you to transfer our information to other companies in the Alliance Trust group and to relevant third parties and agree that you or they may contact us by e-mail, telephone or post (where I/ we have given you these contact details) to inform us about your products, services and events and those of other companies in the Alliance Trust group. We understand that we can contact you at any time to request you not to contact me/us for these purposes.

9. We confirm that we have the requisite corporate powers to make this application and to perform our obligations in accordance with the Governing Documents and that the person(s) signing this Application Form have been duly authorised to do so.

It is a serious offence to make any false statements and to do so can lead to prosecution.

Date	<table><tr><td>DD</td><td>MM</td><td>YYYY</td></tr></table>	DD	MM	YYYY
DD	MM	YYYY		
Date	<table><tr><td>DD</td><td>MM</td><td>YYYY</td></tr></table>	DD	MM	YYYY
DD	MM	YYYY		

Notes:

1. Tax Regulations

The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA³, various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories.

2. Specified Person

The term "Specified Person" is defined by reference to local laws in the country where an entity is established. In the UK, a "Specified United Kingdom Person" means a person or entity who is resident in the United Kingdom for tax purposes, other than:

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a Related Entity¹¹ of a corporation described in clause (i);
- (iii) a Depository Institution;
- (iv) a broker or dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United Kingdom;
- (v) a Governmental Entity;
- (vi) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);
- (vii) a Central Bank; or
- (viii) a pension scheme or other arrangement registered with HMRC under Part 4 of the Finance Act 2004.

Similar definitions apply to entities in the US (defined in the FATCA Regulations) and Crown Dependencies and Overseas Territories (as defined in the relevant Agreement to Improve International Tax Compliance with the UK).

3. FATCA

The Foreign Account Tax Compliance provisions (commonly known as FATCA) contained in the US Hire Act 2010.

4. Financial Institution

The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity¹⁰, or a Specified Insurance Company as defined for the purposes of FATCA. The same definitions apply to the UK's Agreements to Improve International Tax Compliance. Please see the relevant Tax Regulations for the classification definitions that apply to Financial Institutions.

5. Exempt Beneficial Owner

The term "Exempt Beneficial Owner" means

- (i) a Governmental Entity;
- (ii) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community – for a full list please see the relevant guidance issued by HMRC, or the IRS);
- (iii) a Central Bank; or
- (iv) a UK registered pension scheme, or non-UK pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of FATCA.

6. Active Non-Financial Entity (NFE)

A NFE is any entity that is not a Financial Institution.

An Active NFE is any NFE that meets one of the following criteria:

- (i) Less than 50 per cent of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income (such as dividends, interest, royalties, annuities and rent) and less than 50 per cent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- (ii) The stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity¹¹ of an entity, the stock of which is traded on an established securities market;
- (iii) The NFE is a government, a political subdivision of such government, or a public body performing a function of such government or a political subdivision thereof, or an entity wholly owned by one or more of the foregoing;
- (iv) Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution. However the entity will not qualify as an Active NFE if it functions (or holds itself out to be) an investment fund, such as a Private Equity Fund, Venture Capital Fund, Leveraged Buyout Fund or any Investment Vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances the entity will be a passive NFE;
- (v) The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided that the NFE shall not qualify for this exception after the date that is 24 months

Alliance Trust Savings

PO Box 164, 8 West Marketgait, Dundee DD1 9YP T +44 (0)1382 321000 F +44 (0)1382 321183

E contact@alliancetrust.co.uk www.alliancetrustsavings.co.uk

Alliance Trust Savings Limited 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. Alliance Trust Savings gives no financial or investment advice.

9 Direct Debit Instruction

Instruction to your bank or building society to pay by Direct Debit



Please fill in the whole form and return it to:

Alliance Trust Savings Limited, PO Box 164, 8 West Marketgait, Dundee DD1 9YP

Ref number (Alliance Trust Savings use only)	<input type="text"/>	Originator's ID number	<input type="text" value="8"/> <input type="text" value="0"/> <input type="text" value="7"/> <input type="text" value="3"/> <input type="text" value="4"/> <input type="text" value="1"/>
Full name	<input type="text"/>	Name(s) of account holder(s)	<input type="text"/>
Name and full postal address of your bank or building society	<input type="text"/>	Branch sort code	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Postcode	<input type="text"/>	Bank or building society 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"/> <input type="text"/>

Direct Debit instruction

Please pay Alliance Trust Savings Limited Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with Alliance Trust Savings Limited and, if so, details will be passed on electronically to my bank/building society.

Signature(s)	<input type="text" value="X"/>	Date	<input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YYYY"/>
	<input type="text" value="X"/>	Date	<input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YYYY"/>

Banks and building societies may not accept Direct Debit instructions for some types of account.

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IDA1140-05-14

Direct Debit guarantee

This guarantee should be detached and retained by the payer.



- This guarantee is offered by all banks and building societies that take part in the Direct Debit Scheme. The efficiency and security of the Scheme is monitored and protected by your own bank or building society.
- If the amounts to be paid or the payment dates change, Alliance Trust Savings will notify you 10 working days in advance of your account being debited or as otherwise agreed.
- If an error is made by Alliance Trust Savings or your bank or building society, you are guaranteed a full and immediate refund from your branch of the amount paid.
- You can cancel a Direct Debit at any time, by writing to your bank or building society. Please also send a copy of your letter to us.

