



If you have any questions, please call our Client Services Team on **01382 573737**

Stocks & Shares ISA

Application form For tax year 2017/18

You can also apply for a Stocks and Shares ISA online at www.alliancetrustsavings.co.uk/isa

This form should be read in conjunction with our Charges Guide. Please note that you will incur higher charges for postal dealing than online. If you have any questions, please call our Client Services Team on **01382 573737**.

Please ensure you complete all sections. Complete section 7 to set up a Direct Debit.

If you are completing this application following advice from a Financial Adviser please complete our application form for advised clients. Your financial adviser can provide this.

This application will be effective for the tax year in which you apply, and each subsequent tax year that you make payments to the Stocks and Shares ISA until further notice.

Please note you may not subscribe to more than one Stocks and Shares ISA in the same tax year.

1. Personal details

If you have an account with Alliance Trust Savings, please give your Client Reference Number.

Client Reference Number

Title:

Date of birth:

First name(s):

Mother's maiden name (for security purposes):

Surname:

Do you have a National Insurance Number? Yes No

Permanent residential address:

NI number:

Postcode:

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

Phone number:

I am not a US person: (Please tick)

Mobile number:

If you cannot give this declaration please do not continue with this application. A financial adviser will be able to help you. For a definition of a 'US person' please see the glossary on our website.

Email address:

Delivery options: (preferred delivery of half yearly statements, valuations, contract notes and SMPI) Online (free) Postal (£25+VAT)

(Compulsory for online delivery. Failure to provide will result in postal delivery and therefore charged accordingly.)

Please note that we may need to ask for identification evidence to meet our ID requirements.

2. May we disclose information to a third party?

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 your Account.

Name:

Please send duplicate contract notes to the person named* (please tick if yes)

Address:

* 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.

Postcode:

Relationship to you:

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 calling your Client Services Team on **01382 573737** or downloaded from www.alliancetrustsavings.co.uk

3. Payments to your ISA

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.

Lump sum payment by cheque

Amount: £ (minimum £50)

Please make cheques payable to Alliance Trust Savings Limited

Regular payments by Direct Debit

Amount: £ (minimum £50)

Collection on this day of the month (tick one box only): 1st 8th 15th 22nd

Direct Debits will be automatically collected on a monthly basis. If you wish Direct Debits to be collected quarterly, please tick.

Commencing in (month/year): | | | | | | |

You must also provide your bank details using the Direct Debit Instruction at the back of this form in section 7. Please tick this box to confirm you have done this.

Please remember to allow at least 10 working days before the first collection is due to be paid to allow your bank time to set up the Direct Debit.

Transferring in another ISA Account

I wish to open my ISA and intend to transfer-in assets from another ISA (please tick) I have completed and enclosed a Stocks and Shares ISA Transfer In Request Form. (Please tick to confirm. We cannot arrange a transfer until you do so)

You can download this form from www.alliancetrustsavings.co.uk or call **01382 573737**.

Share exchange or the transfer-in of employee shares

For information about these options please visit www.alliancetrustsavings.co.uk or call **01382 573737**.

4. Investment instructions

If you wish to give us your purchase and income instructions now, please refer to the notes in this section before completing it.

If you have not yet decided which investments you would like to make you can leave this section blank. When we receive your cash we will hold it in the ISA deposit account until you give us further instructions. Please note if you fail to pay charges related to your ISA we reserve the right to disinvest assets in order to pay any outstanding charges.

You will find information on available investments at www.alliancetrustsavings.co.uk or by calling our Client Services Team on **01382 573737** to request a list of available investment.

Please note if you wait until you have your Personal ID and password and make your Investment Instructions online, our **online dealing fees** will apply. If you complete the section below our **offline dealing charges** will apply. Please consult our Charges Guide at www.alliancetrustsavings.co.uk for further details.

Investment ¹		Amount or Percentage of cash	Income options ²	
Name (including class)	MEX/TIDM code		Name (including class)	MEX/TIDM code
Total		£	%	

I wish to have investment income paid to me from some or all of the above investments.

Please send me the appropriate form to set this up. (Please tick)

If you wish to invest in a fund (an OEIC, unit trust or ETF) you must confirm that you have read the relevant Key Investor Information Document (KIID). These are available on our Investment Selector/ Research tool or via the fund provider directly. Please tick to confirm.

Notes

- 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 List of Stocks and Shares and List of Funds at www.alliancetrustsavings.co.uk. To allocate your cash to your Deposit Account or Online Dealing Account, enter 'deposit' or 'online'.
- 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 opposite) is reached, or you may, if you wish to:
 - Use it to purchase another investment – enter name and MEX/TDIM 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'.
- 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 that 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 sometimes work to your advantage or disadvantage.

4. Investment instructions (continued)

Minimum Purchase Levels

Except for online and telephone purchases, 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 Stocks and Shares ISA. Please note that any future investments will revert to the £100 default level unless otherwise instructed. You can change the levels at any time by completing an ISA instruction form.

Minimum Purchase Levels: £150 £300 £500

5. Declaration by Alliance Trust Savings

We declare to you that the following declarations are true:

- Your Stocks and Shares ISA and your rights under it will be governed by the details on your application as accepted by us, and by our Terms and Conditions documents referred to in it (the "Governing Documents") as amended by us from time to time
- We will hold cash subscriptions, Stocks and Shares ISA eligible investments, interest, dividends and any other rights or proceeds in respect of those investments, and any other cash in your Stocks and Shares ISA
- Under the Data Protection Act 1998, we are a data controller and will process data about you in performance of our duties as an ISA manager
- We are an ISA manager authorised by Her Majesty's Revenue & Customs, and
- We are authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority.

6. Client declaration and signature

I apply to subscribe for a Stocks and Shares ISA for the tax year stated on page 1, notwithstanding the date that I have signed this application, and each subsequent year until further notice.

I confirm that I have been given the opportunity to review the Terms and Conditions and documents referred to in it (the "Governing Documents").

I declare that:

- All payments or subscriptions made and to be made to my Stocks and Shares ISA do and will belong to me
- I will be bound by the Governing Documents as they apply to my Stocks and Shares ISA
- The information given by me in this application is true and correct to the best of my knowledge and belief
- I am not a US person, and
- I undertake to inform you without delay of any changes to the particulars given in this application and any other changes which may affect my ability to hold or subscribe to a Stocks and Shares ISA.

I declare that:

- I am 18 years of age or over and one of the following applies to me:
 - (a) I am resident in the United Kingdom for tax purposes, or
 - (b) I 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
 - (c) I am married to, or in a civil partnership with, a person who performs duties described in paragraph (b)

I will inform you if my circumstances change so that none of these apply to me

- I have not and will not in the tax year to which this application applies subscribe to any other Stocks and Shares ISA from any other provider
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA, a stocks and shares ISA, an innovative finance ISA and a lifetime ISA in the same tax year.

I hereby authorise you to:

- Hold my subscriptions, investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash in my Stocks and Shares ISA with you, subject to the Governing Documents
- Make on my behalf any claims to relief from tax in respect of my investments
- Create additional Accounts for me as appropriate for the delivery of Services or receiving payments using the details contained in this application, as updated by me as appropriate
- On my authenticated request, and subject to the Governing Documents, transfer or pay to me, as the case may be, investments, interest, dividends, rights or proceeds in respect of those investments or any cash
- If I do not already have a Personal ID and Password, issue me with one on acceptance of this application so that I may use the Services that need my authentication
- Act on instructions given under that Personal ID and Password or replacement authentication for any of your Services that need prior authentication.

I am aware why my information and data is collected by you, the length of time it will be retained and that it may be passed to others, all as described in the Governing Documents.

You are authorised to:


- Contact me by email, telephone or post to provide me with information on your products, services and events and those from companies within the Alliance Trust group, and
- Transfer my information to other companies within the Alliance Trust group and I agree that they may contact me too

until I write or email your Client Services Team requesting you or them to stop.

By submitting this application, I consent to the use and processing of my information and data as set out in the Governing Documents.

It is a serious offence to make any false statements and to do so can lead to prosecution, civil action, deductions from your Account or closure of your Account.

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: 

Date: | D | D | M | M | Y | Y |

7. Direct Debit instruction

Instruction to your bank or building society to pay by Direct Debit. Please fill in the form and return it to: Alliance Trust Savings Limited, PO Box 164, 8 West Marketgait, Dundee DD1 9YP.

Alliance Trust Savings number
(Alliance Trust Savings use only): | | | | | | | |

Originator's ID number: | 8 | 0 | 7 | 3 | 4 | 1 |

Full name: _____

Permanent residential address: _____

Postcode: _____

Name(s) of account holder(s): _____

Name(s) of account holder(s): _____

Branch Sort code: | | | | | | | |

Account number: _____



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:  _____

Date: | D | D | M | M | Y | Y |

Signature:  _____

Date: | D | D | M | M | Y | Y |

Alliance Trust Savings

PO Box 164, 8 West Marketgait, Dundee DD1 9YP T +44 (0)1382 573737 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. Calls may be recorded for training and security purposes.

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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 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.
- 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.



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