If you have any questions, please call
our Customer Services Team on
01382 573737
Calls may be monitored for training or security purposes.

Alliance Trust Savings

SIPP
Instruction Form

Please use this form to submit your postal and automatic dealing instructions. You don't need to complete every section of this form. However you must give us your SIPP Account number and signature on each page that you complete.

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 your Customer Services Team on 01382 573737.

Postal dealing

We will execute instructions you send to us by post on the business day after we receive them.

With this form you can:

– Sell investments (Section 3)
– Sell investments and reinvest the proceeds (Section 3)
– Make additional subscriptions into your Account (Section 4)
– Purchase investments (Section 5)

If you have a Personal ID and password you can give the above investment dealing instructions online at **alliancetrustsavings.co.uk** or by authenticated telephone call by calling our Customer Services team on **01382 573737**.

Automatic dealing

The cash balance in each of your Security Accounts will be used to automatically reinvest in the same investment as soon as the Minimum Purchase Level for that Security Account is reached.

With this form you can:

– Change your Minimum Purchase Levels (Section 6)
– Set up a regular transfer from your deposit account (Section 7)
– Set up or amend Direct Debit instructions (Sections 8 and 9)

Any new instructions you give us on this form will replace any existing instructions for Sections 6, 7, 8, 9 and 10.

1. Personal details

SIPP Account number

Title:

First name(s):

Surname:

Permanent residential address:

Postcode:

Phone number:

Mobile number:

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

Postal dealing instructions

SIPP Account number | | | | | | | | |

3. Sell only or sell and reinvest

In this section you can place the following instructions:

– Sell only (investments will be sold and your cash will be placed on deposit) – complete only the **Investments to be sold** part of the table below

– Sell and reinvest in another investment – complete the **Investments to be sold** and **Investments to purchase** sections of the table below and if relevant, the **Income options** section.

Please note that any instructions given in this section will be charged at our postal dealing rate (see your *Charges Guide*). If you are selling and you do not want to use your sale proceeds to purchase another investment you may leave the 'Investments to purchase' column blank and your sale proceeds will be placed on deposit until we receive further instructions from you.

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

Investment to be sold[1]		Number of shares to sell or 'all'	Investments to purchase[2]			Income options[4]	
Name (including class)	MEX/ TIDM code		Name (including class)	MEX/TIDM code	Amount to invest (£/%)[3]	Name (including class)	MEX/TIDM code
				Total	£ %		

Notes to accompany table

1. **Investments to be sold:** Enter the full name and class of each investment. This is important as there may be different classes available.

   Please quote the MEX/TIDM code which you can find in the relevant investment choice list available within the Forms and Documents section at **alliancetrustsavings.co.uk**

2. **Investments to purchase:** Enter the full name and class of each investment you wish to purchase.

3. **Amount to invest:** Please give the amount or percentage of cash you wish to allocate to each investment. Please ensure that the percentage amounts in this column add up to 100%.

4. **Income options:** Any income received from each investment will be placed in your Security Account and automatically be used to purchase more of the same investment when your Minimum Purchase Level (see Section 6) is reached, unless you wish to:

   – Use it to purchase another investment – enter name and MEX/TIDM code

   – Direct it to your deposit account – enter 'deposit'

   – Have income paid to your bank Account – enter 'income a/c'

How we will place your order: We may purchase or sell your investments for you along with other customer 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 Execution Policy*. This may work to your advantage or disadvantage.

Purchasing funds or PRIIPs (Packaged Retail and Insurance-based Investment Products)

If you wish to invest in a fund or a PRIIP (e.g. Investment Trust) you must confirm that you have read an up-to-date version of the *Key Investor Information Document (KIID)/Key Information Document (KID)* for each fund/PRIIP in which you want to invest 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 KID/KIIDs can be found in the Investment Selector/Investment Information section of our website at **alliancetrustsavings.co.uk** or are available from fund/PRIIP provider directly.

I confirm that I have read the relevant KID/KIID for the fund(s)/PRIIP(s) in which I wish to invest ☐

I confirm that I am not a US Person or applying on behalf of a US Person ☐

Signature

Signature: ✗

Date: D D M M Y Y

Postal dealing instructions

SIPP Account number

4. Make additional payments

Please complete this section if you wish to send us a cheque to make additional payments into your SIPP Account.

Amount: £

Please tick to confirm you have attached your cheque. Cheques should be made payable to Alliance Trust Savings Limited. ☐

You can give purchase instructions, including any additional payments, in Section 5.

If you have not yet decided which investments you would like to make, please leave Section 5 blank and your cash will be placed on deposit until we receive further instructions from you. However, you must still sign at the foot of this page.

You will find information on available investments in the Literature Centre at **alliancetrustsavings.co.uk** or by calling our Customer Services Team on **01382 573737** to request a list of available investments.

5. Purchase investments

Please complete this section to give us your purchase instructions using either:

- Your additional payments (see Section 4)
- Your additional payments and cash already available in your deposit account
- Cash already available in your deposit account

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 **alliancetrustsavings.co.uk** for further details.

Investment to purchase[1]		Amount to invest (£/%)[3]	Source of cash[4]	Income options[3]	
Name (including class)	MEX/TIDM code			Name (including class)	MEX/TIDM code
	Total	£ %			

Notes to accompany table

1. **Investment to purchase:** Enter the full name and class of each investment. This is important as there may be different classes available.

   Please quote the MEX/TIDM code which you can find in the relevant investment choice list available within the Forms and Documents section at **alliancetrustsavings.co.uk**
2. **Income options:** Any income received from each investment will be placed in your Security Account and automatically be used to purchase more of the same investment when your Minimum Purchase Level (see Section 6) is reached, unless you wish to:
   - Use it to purchase another investment – enter name and MEX/TIDM code
   - Direct it to your deposit account – enter 'deposit'
   - Have income paid to your bank Account – enter 'cash'
3. **Amount to invest:** Please give the amount or percentage of cash you wish to allocate to each investment. Please ensure that the percentage amounts in this column add up to 100%.
4. **Source of cash:** Enter source of cash. For cash from additional payments enter 'cheque'. For transfers from your deposit account enter 'deposit'.

How we will place your order: We may purchase your investments for you along with other customer 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 Execution Policy*. This may work to your advantage or disadvantage.

Purchasing funds or PRIIPs (Packaged Retail and Insurance-based Investment Products)

If you wish to invest in a fund or a PRIIP (e.g. Investment Trust) you must confirm that you have read an up-to-date version of the *Key Investor Information Document (KIID)/Key Information Document (KID)* for each fund/PRIIP in which you want to invest 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 KID/KIIDs can be found in the Investment Selector/Investment Information section of our website at **alliancetrustsavings.co.uk** or are available from fund/PRIIP provider directly.

I confirm that I have read the relevant KID/KIID for the fund(s)/PRIIP(s) in which I wish to invest ☐

I confirm that I am not a US Person or applying on behalf of a US Person ☐

Signature

Signature: ✗

Date: D D M M Y Y

Automatic dealing instructions

SIPP Account number | | | | | | | | |

6. Change your Minimum Purchase Levels

When cash in your Security Account reaches the Minimum Purchase Level we will automatically purchase more of the same investment for you. The default Minimum Purchase Level is £100 unless you have already changed it. If you wish to change the Minimum Purchase Level on your Account please complete the relevant sections below.

Account level

If you wish to set or change the Minimum Purchase Level on your Account please tick the relevant box below. This will set the Minimum Purchase Level for all Security Accounts within your SIPP and will apply to all current and future investments, until you ask us to change it.

Minimum Purchase Levels: £150 ☐ £300 ☐ £500 ☐

OR

Investment level

If you wish to set or change the Minimum Purchase Level for individual Security Accounts please complete the table below.

Investment[1]		Minimum Purchase Level[2]		
Name (including class)	MEX/TIDM code	£150	£300	£500

Notes to accompany table

1. **Investment:** Enter the full name and class of each investment. This is important as there may be different classes available.

   Please quote the MEX/TIDM code which you can find in the relevant investment choice list available within the Forms and Documents section at **alliancetrustsavings.co.uk**

2. **Minimum Purchase Level:** Please tick one Minimum Purchase Level box only for each investment you have listed.

Important note: Any new instructions you give us in this section will replace any existing Minimum Purchase Level instructions you have in place.

Signature

Signature: ✗

Date: D D M M Y Y

Automatic dealing instructions

SIPP Account number | | | | | | | | |

7. Regular transfers from deposit account

You can use this section to make regular transfers from your deposit account to any of your Security Accounts. Please list these below.

The cash in your Security Account will be used for automatic purchases of the investment when the balance in your Account reaches the Minimum Purchase Level (see Section 6).

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

Please transfer from my deposit account to my Security Accounts listed below: £ (minimum £50)

Please take my transfer: Monthly ☐ Quarterly ☐ Half-yearly ☐ Yearly ☐

Please start my transfer from (start month):

Investment to purchase[1]			Income options[2]	
Name (including class)	MEX/TIDM code	Percentage to be allocated[3]	Name (including class)	MEX/TIDM code
	Total	%		

Notes to accompany table

1. **Investment to purchase:** Enter the full name and class of each investment. This is important as there may be different classes available.

   Please quote the MEX/TIDM code which you can find in the relevant investment choice list available within the Forms and Documents section at **alliancetrustsavings.co.uk**
2. **Income options:** Any income received from each investment will be placed in your Security Account and automatically be used to purchase more of the same investment when your Minimum Purchase Level (see Section 6) is reached, unless you wish to:
   - Use it to purchase another investment – enter name and MEX/TIDM code
   - Direct it to your deposit account – enter 'deposit'
   - Have income paid to your bank account – enter 'cash'
3. **Percentage to be allocated:** Please give the amount or percentage of cash you wish to allocate to each investment. Please ensure that the percentage amounts in this column add up to 100%.

How we will place your order: We may purchase your investments for you along with other customer 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 Execution Policy*. This may work to your advantage or disadvantage.

Insufficient cash in your deposit account: If you have insufficient cash in your deposit account on any transfer date to make the full transfer, we will take the available deposit balance and transfer it to your Security Account. If you have nominated more than one investment, we will allocate it to your nominated Security Accounts on a pro rata basis it in accordance with your investment instructions.

Important note: Your instructions given here will replace any existing deposit account transfer instructions you already have in place.

Purchasing funds or PRIIPs (Packaged Retail and Insurance-based Investment Products)

If you wish to invest in a fund or a PRIIP (e.g. Investment Trust) you must confirm that you have read an up-to-date version of the *Key Investor Information Document (KIID)/Key Information Document (KID)* for each fund/PRIIP in which you want to invest 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 KID/KIIDs can be found in the Investment Selector/Investment Information section of our website at **alliancetrustsavings.co.uk** or are available from fund/PRIIP provider directly.

I confirm that I have read the relevant KID/KIID for the fund(s)/PRIIP(s) in which I wish to invest ☐

I confirm that I am not a US Person or applying on behalf of a US Person ☐

Signature

Signature: ✘

Date: D D M M Y Y

Automatic dealing instructions

SIPP Account number | | | | | | | | |

8. Change tax relief allocation for personal contributions

If you wish to change where tax relief is allocated for any personal contributions, please tell us here. You can currently only choose one investment to receive tax relief.

If you do not complete this section, tax relief will continue to be allocated in accordance with any instructions you already have in place.

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

Investment name[1]		Income options[2]	
Name (including class)	MEX/TIDM code	Name (including class)	MEX/TIDM code

Notes to accompany table

1. **Investment to purchase:** Enter the full name and class of each investment. This is important as there may be different classes available.

   Please quote the MEX/TIDM code which you can find in the relevant investment choice list available within the Forms and Documents section at **alliancetrustsavings.co.uk**

2. **Income options:** Any income received from each investment will be placed in your Security Account and automatically be used to purchase more of the same investment when your Minimum Purchase Level (see Section 6) is reached, unless you wish to:
   - Use it to purchase another investment – enter name and MEX/TIDM code
   - Direct it to your deposit account – enter 'deposit'.

Important note: Your instructions given here will replace any existing Direct Debit instructions you already have in place.

Purchasing funds or PRIIPs (Packaged Retail and Insurance-based Investment Products)

If you wish to invest in a fund or a PRIIP (e.g. Investment Trust) you must confirm that you have read an up-to-date version of the *Key Investor Information Document (KIID)/Key Information Document (KID)* for each fund/PRIIP in which you want to invest 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 KID/KIIDs can be found in the Investment Selector/Investment Information section of our website at **alliancetrustsavings.co.uk** or are available from fund/PRIIP provider directly.

I confirm that I have read the relevant KID/KIID for the fund(s)/PRIIP(s) in which I wish to invest ☐

I confirm that I am not a US Person or applying on behalf of a US Person ☐

Signature

Signature: ✗

Date: D D M M Y Y

Automatic dealing instructions

SIPP Account number | | | | | | | | |

9. Direct Debit instructions

You can use this section to amend any existing Direct Debit instructions you have in place. If you do not already have a Direct Debit set up, you can do so by completing the section below along with the *Direct Debit Instruction form* which can be found in Section 10. You can also give us investment instruction below.

If you have not yet decided which investments you would like to make, you may leave the Investments to purchase column blank and your cash will be placed on deposit until we receive further instructions from you.

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

Amending an existing Direct Debit instruction ☐ **OR** Setting up a new Direct Debit instruction ☐

Change or set my Direct Debit amount to: £ **(minimum £50)**

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

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

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

Investment to purchase[1]			Income options[2]	
Name (including class)	MEX/TIDM code	Percentage to be allocated[3]	Name (including class)	MEX/TIDM code
	Total	%		

Notes to accompany table

1. **Investment to purchase:** Enter the full name and class of each investment. This is important as there may be different classes available.

   Please quote the MEX/TIDM code which you can find in the relevant investment choice list available within the Forms and Documents section at **alliancetrustsavings.co.uk**
2. **Income options:** Any income received from each investment will be placed in your Security Account and automatically be used to purchase more of the same investment when your Minimum Purchase Level (see Section 6) is reached, unless you wish to:
   - Use it to purchase another investment – enter name and MEX/TIDM code
   - Direct it to your deposit account – enter 'deposit'
   - Have income paid to your bank account – enter 'cash'
3. **Percentage to be allocated:** Please give the amount or percentage of cash you wish to allocate to each investment. Please ensure that the percentage amounts in this column add up to 100%.

How we will place your order: We may purchase your investments for you along with other customer 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 Execution Policy*. This may work to your advantage or disadvantage.

Important note: Your instructions given here will replace any existing Direct Debit instructions you already have in place.

Purchasing funds or PRIIPs (Packaged Retail and Insurance-based Investment Products)

If you wish to invest in a fund or a PRIIP (e.g. Investment Trust) you must confirm that you have read an up-to-date version of the *Key Investor Information Document (KIID)/Key Information Document (KID)* for each fund/PRIIP in which you want to invest 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 KID/KIIDs can be found in the Investment Selector/Investment Information section of our website at **alliancetrustsavings.co.uk** or are available from fund/PRIIP provider directly.

I confirm that I have read the relevant KID/KIID for the fund(s)/PRIIP(s) in which I wish to invest ☐

I confirm that I am not a US Person or applying on behalf of a US Person ☐

Signature

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 alliancetrustsavings.co.uk

10. Direct Debit instruction

Instruction to your bank or building society to pay by Direct Debit. Please complete and return 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

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 **alliancetrustsavings.co.uk**

ATS SIPP F 0003 (8975)

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.