



If you have any questions, please call our Customer Services Team on

01382 573737

Calls may be recorded for training and monitoring purposes.



Stocks & Shares Junior ISA

Transfer In Request Form for Direct Customers

Section A – Instructions to Alliance Trust Savings

Please complete both Sections A and B in block capitals and black ink and return to Alliance Trust Savings, PO Box 164, 8 West Marketgait, Dundee, DD1 9YP.

If you do not already have a Stocks & Shares Junior ISA Account with us, you will need to open one. You can do so online or you can contact our Customer Services Team at **01382 573737** to request an *Application Pack* by post. Please note that dealing by post will incur a higher charge than online, full details can be found in our *Charges Guide*.

Before completing this form it is important that you read the *Key Facts*, *Charges Guide* and the *Terms and Conditions* document. These documents can be found on our website at alliancetrustsavings.co.uk.

1. Transfer details

If you are already an Alliance Trust Savings Stocks & Shares Junior ISA customer please provide your Account Reference Number: _____

Please accept the transfer of the following Junior ISA/Child Trust Fund to be held in an Alliance Trust Savings Stocks & Shares Junior ISA.

Name of your current Junior ISA/Child Trust Fund manager: _____

2. Investment instructions

If you have not decided which investments you would like to make, you may leave this section blank. We will place your cash on deposit when it is received from the other manager until we receive instructions from you. You can also make investment instructions online by logging into your online Account to trade in the investments you want.

Please note that any instructions given in this section will be charged at our postal dealing rate (see your *Charges Guide*).

You will find information on available investments at alliancetrustsavings.co.uk or you can call our Customer Services team on **01382 573737** to request a list of available investments.

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 income paid to me from some or all of the above investments. Send me the appropriate form to set this up if not already in place.

Notes to accompany table

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/TIDM code which you can find in the *Investment Choice booklet*, which is available within the Forms & Documents section at alliancetrustsavings.co.uk.

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

2. **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, or you may, if you wish to:

- Use it to purchase another investment – enter name and MEX/TIDM code
- Direct it to your deposit account – enter 'deposit'
- Direct it to your Online Dealing Account – enter 'online'

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 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.

2. Investment instructions (continued)

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 Junior ISA. You can change the levels at any time by completing a *Stocks & Shares Junior ISA Instruction Form*.

Minimum Purchase Levels: £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)/Key Information Document (KID)* and in addition, confirm that you and the child are not US Persons or applying on behalf of a US Person. **Please tick all boxes below.**

Copies of the fund KID(s)/KIID(s) can be found in the Investment Selector/Investment Information section of our website at alliancetrustsavings.co.uk or are available from the fund provider directly.

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

I confirm that I am not a US Person

I confirm that the child is not a US Person

3. Fund conversion – applicable to holders of retail share class funds only

Alliance Trust Savings will automatically convert retail share classes to new clean share class equivalents where the net Annual Management Charge (AMC) is equal or lower. If the net AMC is higher, we will proceed with the conversion to the clean share class equivalent unless you indicate below that you do not wish this to happen. A small proportion of funds do not have a clean share class equivalent. In this instance you will remain within the retail share class and receive 100% of any rebate payment that might be received from the fund manager.

I do not wish to convert to the clean share class equivalent if the net AMC is higher

4. Declaration by Alliance Trust Savings

We declare to you that:

- The declarations made to you at the time of your application for a Stocks & Shares Junior ISA remain true and valid
- If we accept the transfers from the transferring ISA/Child Trust Fund Manager, we will apply the transferred assets to your Stocks & Shares Junior ISA as instructed by you in this *Transfer Request Form* to be held under the terms of that Stocks & Shares Junior ISA
- Your Stocks & Shares Junior 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* and documents referred to in it (the "Governing Documents") as amended by us from time to time.

5. Declaration to Alliance Trust Savings and signature

I declare that (please tick the appropriate box):

I am 16 years of age or over

I am the child/I have parental responsibility for that child

- I am the registered contact for the Junior ISA/Child Trust Fund
- I declare that the declarations made to you in my application for my child's Stocks & Shares Junior ISA are still true and apply to the transfer described in this transfer in request
- I authorise you (on behalf of the child who holds the Account where appropriate) to create additional Accounts for me as appropriate for the delivery of Services or receiving payments using the details contained in my application, as updated by me as appropriate
- I authorise you to hold the child's subscriptions, Junior ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and cash, and to make on behalf of the child any claims to relief from tax in respect of Junior ISA investments
- I acknowledge that there may be circumstances in which my requested transfer cannot proceed, in which case I withdraw my request and agree that the assets to be transferred will remain with my current ISA manager
- By completing this transfer in request I instruct you to hold the transferred assets in my child's Stocks & Shares Junior ISA Account with you
- I agree to the *Junior ISA Terms and Conditions*.

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

Signature: 

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

6. Junior ISA/Child Trust Fund statement

Enclose a recent statement for the Junior ISA/Child Trust Fund you are transferring. Tick to confirm that you have enclosed.

Please now complete Section B.



If you have any questions, please call our Customer Services Team on

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Junior ISA/Child Trust Fund

Transfer In Request Form for Direct Customers

Section B – Instructions to the manager of the Junior ISA/Child Trust Fund you are transferring

Section A has been retained by Alliance Trust Savings.

Please complete in block capitals and black ink and return to Alliance Trust Savings Limited, PO Box 164, 8 West Marketgait, Dundee, DD1 9YP.

1. Instructions to the Junior ISA/Child Trust Fund manager of the Account you are transferring to Alliance Trust Savings

To: (Junior ISA/Child Trust Fund Manager)	To: (Customer)
Name: _____	Name: _____
Address: _____	Address: _____
Postcode: _____	Postcode: _____

2. Transfer details

I wish to transfer the following Account to Alliance Trust Savings Limited (HM Revenue & Customs reference Z1155 for)

Junior ISA Account number or Child Trust Fund reference number: _____	Child's address: _____
Child's full name: _____	Postcode: _____
Child's date of birth: D D M M Y Y Y Y _____	

Account: Cash Junior ISA (Go to Section 3) Stocks & Shares Junior ISA (Go to Section 4) Child Trust Fund (Go to Section 4)

Are you transferring cash paid into a Junior ISA during this tax year? Yes No

Any cash you have paid into a Junior ISA this tax year must be transferred in full.

3. Transferring a Cash Junior ISA

Please complete this section if you are transferring a Cash ISA to Alliance Trust Savings Limited.

I wish to transfer my Cash Junior ISA in Full **OR** Part

If you are transferring only part of your Cash Junior ISA please enter the amount to be transferred: _____ £

Sign and date Section 5.

4. Transferring a Stocks & Shares Junior ISA or a Child Trust Fund

Please complete this section if you are transferring a Cash Junior ISA to Alliance Trust Savings.

I wish to transfer my Stocks & Shares Junior ISA in Full (Go to Section 4(a)) **OR** Part (Go to Section 4(b))

I understand that I must transfer my Child Trust Fund in Full (Go to Section 4(a))

4. Transferring a Stocks & Shares Junior ISA or a Child Trust Fund (continued)**4(a) Transfer my Junior ISA/Child Trust Fund in full**

Tick one of the boxes below to indicate you wish to transfer your Stocks & Shares Junior ISA to Alliance Trust Savings.

Cash only

Sell all investments and transfer in cash

Sign and date Section 5. You are not required to complete the rest of this section.

Investments and cash

Now complete the table below.

Transfer the following investments and refer to the letter from Alliance Trust Savings for registration details for the investments to be transferred. Sell all other investments in my Junior ISA/Child Trust Fund and send a cheque representing the net sale proceeds to Alliance Trust Savings. Cheques should be made payable to Alliance Trust Savings Limited. Please note your existing provider may charge you for this prior to the transfer being sent to Alliance Trust Savings.

Investments to be transferred

Investment name	ISIN/SEDOL (if known)	Transfer in-specie	Sell and transfer as cash
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO
		YES / NO	YES / NO

Where I must give notice to close or transfer part of the existing Child Trust Fund, or the existing Child Trust Fund contains an investment which is designed and intended to be held for full term and has yet to reach redemption, I instruct my existing Child Trust Fund provider to either:

1. Wait for the full notice period to end, or wait until redemption (whichever is relevant) before going ahead with this transfer

2. Depending on the terms and conditions, carry out the transfer as soon as possible – I accept any consequential loss of income, capital or charges that may be applied

If you are unable to carry out my instructions as detailed above:

Transfer in cash

OR

Return this instruction to Alliance Trust Savings

Sign and date Section 5.

4(b) Transfer only part of my Junior ISA

Tick one of the boxes below to indicate how you wish to transfer your Stocks & Shares Junior ISA to Alliance Trust Savings.

Cash only

Amount to be transferred (This is the approximate value and will depend on share prices at the time of sale):

£

List the investments you wish to sell in order to raise the cash.

Investments to be transferred	Number of shares/cash	ISIN/SEDOL	Transfer in-specie	Sell and transfer as cash
			YES / NO	YES / NO
			YES / NO	YES / NO
			YES / NO	YES / NO
			YES / NO	YES / NO
			YES / NO	YES / NO
			YES / NO	YES / NO
			YES / NO	YES / NO

Now sign and date Section 5.

4. Transferring a Stocks & Shares ISA (continued)

4(b) Transfer only part of my Junior ISA (continued)

Investments and Cash Amount of cash to be transferred (if any): £

Transfer the following investments to Alliance Trust Savings. Any cheque representing net sale proceeds should be made payable to Alliance Trust Savings Limited.

Investments to be transferred	Number of shares/cash	ISIN/SEDOL	Transfer in-specie	Sell and transfer as cash
			YES / NO	YES / NO
			YES / NO	YES / NO
			YES / NO	YES / NO
			YES / NO	YES / NO
			YES / NO	YES / NO
			YES / NO	YES / NO

If you are unable to carry out my instructions as detailed above:

Transfer in cash **OR** Return this instruction to Alliance Trust Savings

Sign and date Section 5.

5. Signature of registered contact

Signature: X Date: | D | D | M | M | Y | Y |

Instructions to current Junior ISA/Child Trust Fund manager

Please:

1. Write to Alliance Trust Savings and to me informing us that you have received these instructions and are processing them.
2. Supply Alliance Trust Savings with any information they require about my Junior ISA/Child Trust Fund and comply with instructions given to you by Alliance Trust Savings regarding this transfer.
3. Send a closing statement of my Junior ISA/Child Trust Fund to Alliance Trust Savings and to me.

Important information

Your current manager may impose exit charges and other costs associated with the transfer and you should assess the total charges you would incur prior to instructing any transfer. Some managers may only allow you to transfer your Junior ISA/Child Trust Fund in the form of cash and you need to know whether this would apply as you may suffer losses as a result of buying back the investments sold.

Before instructing any transfer you should examine all costs associated with the operation of this Junior ISA. Certain elements of our products may be priced differently to those of your current Junior ISA/Child Trust Fund manager.

Transfers between managers may take several weeks to complete and you may be unable to deal for a period while the transfer is pending. You should be aware that there is potential for a loss of income or growth following changes in market conditions while the transfer is being completed.

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

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 monitoring purposes.