



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

**01382 573737**

Calls may be monitored for training or security purposes.



# First Steps Account Application Form

Please complete in block capitals and black ink and return to: Alliance Trust Savings Limited, PO Box 164, 8 West Marketgait, Dundee, DD1 9YP. For Accounts in joint names, details of joint holders can be provided in Section 4 and all joint holders must sign the form. Correspondence will be sent to the first named holder at the address given in Section 1 of this application form.

Before completing this form you should read the *IDA Guide*, *Charges Guide* and the *Terms and Conditions* document. These documents can be found at [alliancetrustsavings.co.uk](http://alliancetrustsavings.co.uk).

You must be 18 years or over to open an Account.

We regret that we cannot accept applications from applicants who are (1) US Persons or (2) applying on behalf of US Persons or (3) not UK tax resident (including those who have dual tax residence). For a definition of 'US Person', please refer to the Glossary section of our website at [alliancetrustsavings.co.uk](http://alliancetrustsavings.co.uk).

## 1. Personal details

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

Client Reference Number:  |  |  |  |  |  |  |

Title:

First name(s):

Surname:

Permanent residential address:

Postcode:

Phone number:

Mobile number:

Email address:

Date of birth:  |  |  |  |  |  |  |

Mother's maiden name (for security purposes):

Correspondence address (if different):

Postcode:

Are you solely resident in the UK for tax purposes? Yes  No

If you have multiple countries of tax residence, or have no country of tax residence, or you are a US Person you cannot apply for a product with Alliance Trust Savings.

## 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
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

## 3. Details of the child

First names(s):

Surname:

Date of birth:  |  |  |  |  |  |  |  Gender: Male  Female

If the Account is to be held in a Bare Trust for the child please tick the box

Please note: It is the responsibility of the plan holder to set-up the Bare Trust, ATS do not do this on your behalf.

#### 4. Disclosure with a Financial Adviser/Third Party?

##### 4(a) Authority to disclose

If you want us to disclose information about your Account by telephone, online or in writing to a Financial Adviser/Third Party, please give their details in this section. Any Financial Adviser/Third Party you authorise will be given a Personal ID and password to allow them online view only and telephone access to your Account.

Please note that this only allows us to disclose information. If you wish to also authorise this person to give investment instructions, please also complete Section 4b.

Title:	Address:	
First name(s):		Postcode:
Surname:	Town/ City:	Country:
Date of birth:   D   D   M   M   Y   Y	Phone number:	


##### 4(b) Authority to accept investment instructions

Any Financial Adviser/Third Party you authorise to give investment instructions for your Account (e.g. purchase, sale or cash transfers within your Account) will be able to do this in writing, by telephone or use their Personal ID and password to allow them to do so online.

Please note that this authority does not authorise them to make payments, subscriptions or contributions to your Account, give withdrawal instructions, or change any personal details (e.g. change of address).

Do you want us to accept instructions from this Financial Adviser/Third Party on your behalf? Yes  No

If yes, the Financial Adviser/Third Party must sign the box below.

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

Please note that even if you authorise a Financial Adviser/Third Party to give instructions on your behalf it's still necessary for you to complete and sign this form.

#### 5. Joint Account holder details

##### Joint holder 1

Name:	Date of birth:   D   D   M   M   Y   Y
Address:	Are you solely resident in the UK for tax purposes? Yes <input type="checkbox"/> No <input type="checkbox"/>
Postcode:	If you have multiple countries of tax residence, or have no country of tax residence, or you are a US Person you cannot apply for a product with Alliance Trust Savings.
I confirm I am a national of the United Kingdom <input type="checkbox"/>	My National Insurance Number is:

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

##### Joint holder 2

Name:	Date of birth:   D   D   M   M   Y   Y
Address:	Are you solely resident in the UK for tax purposes? Yes <input type="checkbox"/> No <input type="checkbox"/>
Postcode:	If you have multiple countries of tax residence, or have no country of tax residence, or you are a US Person you cannot apply for a product with Alliance Trust Savings.
I confirm I am a national of the United Kingdom <input type="checkbox"/>	My National Insurance Number is:

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

## 5. Joint Account holder details (continued)

### Joint holder 3

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Postcode: \_\_\_\_\_

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

Are you solely resident in the UK for tax purposes? Yes  No

If you have multiple countries of tax residence, or have no country of tax residence, or you are a US Person you cannot apply for a product with Alliance Trust Savings.

I confirm I am a national of the United Kingdom

My National Insurance Number is: \_\_\_\_\_

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

## 6. 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 First Steps Account. You can change the levels at any time by completing a *First Steps Account Instruction Form*.

Minimum Purchase Levels:      £150     £300     £500

## 7. Payments to your First Steps Account

### Lump sum payment by cheque

Amount: £ \_\_\_\_\_ (minimum £50)

Cheques should be made payable to Alliance Trust Savings Limited

### Regular payments by Direct Debit

Amount: £ \_\_\_\_\_ (minimum £50)

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

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 |

You must also provide your bank details using the *Direct Debit Instruction* at the back of this form in Section 13.   
Tick this box to confirm you have done this.

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.

## 8. Investment instructions

When we receive your cash, we will hold it in the deposit account. You can then make your investment instructions online. If you require online access, you can request this by calling our Customer Services Team on 01382 573737.

## 9. Transferring in investments

Provided an investment meets our eligibility criteria, you may be able to transfer it into your Account. If you wish to do this, you should complete a *Request to Transfer in Investments Form* which you can download from [alliancetrustsavings.co.uk](http://alliancetrustsavings.co.uk) or by calling our Customer Services Team on 01382 573737.

## 10. 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.

In order to process this application and maintain your Investment Dealing Account we collect and use your personal information. Our *Data Protection and Privacy Policy* describes the type of personal information we collect, the purposes for which we use the information, the circumstances in which we may share the information and the steps we take to safeguard the information to protect your privacy.

Details of our *Data Protection and Privacy Policy* can be found in Section B of our *Terms and Conditions* available at [alliancetrustsavings.co.uk](http://alliancetrustsavings.co.uk).

## 11. Marketing Communications

To ensure you only receive the communications you want from Alliance Trust Savings and in the format you choose, you can update your preferences here.

I would like to receive:

Monthly News for you topical eNewsletter	<input type="checkbox"/>	Your Retirement annual retirement planning magazine	Post <input type="checkbox"/>	Online <input type="checkbox"/>
Taking Stock quarterly investment trust magazine	Post <input type="checkbox"/>	Online <input type="checkbox"/>	Monthly Top 5's	<input type="checkbox"/>
Information on Alliance Trust Savings' Products and Services	<input type="checkbox"/>	IPOs and Share Offers		<input type="checkbox"/>
Articles provided by select investment partners*	<input type="checkbox"/>			

\* We will not provide your data to third-parties. This content will be delivered to you direct from Alliance Trust Savings.

You can amend the communications you would like to receive at any time by logging into your Account and visiting your personal Preference Centre.

## 12. Customer declaration and signature

I/we confirm that I/we have been provided with a copy of, and agree to, the *Terms and Conditions* and *Charges Guide* (together with this completed Application the "Governing Documents") applicable to the Account. The Governing Documents together comprise our standard client agreement upon which we intend to rely. For your own benefit and protection you should read the Governing Documents carefully before signing this declaration or submitting this application. If you do not understand any point please ask for further information.

I/we apply for a First Steps Account provided by Alliance Trust Savings Limited.

I/we consent to Alliance Trust Savings Limited's *Order Execution Policy*.

I am/we are over the age of 18 and I am/we are the beneficial owner(s) of the investments held in the First Steps Account.

I/we confirm that:

- All payments made and to be made to my/our First Steps Account are and will belong to me/us or be from a person authorised by me/us;
- The information given by me/us in this application is true and correct to the best of my/our knowledge and belief, and
- I/we will inform you without delay of any changes to the particulars given in this Application Form and any other changes which may affect my/our ability to hold a First Steps Account.

I/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 my/our First Steps Account with you, subject to the Governing Documents;
- On my/our authenticated request, and subject to the Governing Documents, transfer or pay to me/us, as the case may be, investments, interest, dividends, rights or proceeds in respect of those investments, or any cash; and
- Create additional Accounts for me/us as appropriate for the delivery of Services or receiving payments using the details contained in this application, as updated by me/us as appropriate.

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

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: <input checked="" type="checkbox"/>	Date:   D   D   M   M   Y   Y
Joint Account holder 1 signature: <input checked="" type="checkbox"/>	Date:   D   D   M   M   Y   Y
Joint Account holder 2 signature: <input checked="" type="checkbox"/>	Date:   D   D   M   M   Y   Y
Joint Account holder 3 signature: <input checked="" type="checkbox"/>	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](mailto:contact@alliancetrust.co.uk) [alliancetrustsavings.co.uk](http://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.

### 13. Direct Debit instruction

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

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ATS FS F 0009 (9738)



### 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.

