



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

01382 573737

Calls may be recorded for training and monitoring purposes.
Lines are open 8am – 5pm Monday to Friday.



Stocks & Shares ISA

Transfer In Request Form for Advised Clients

Section A – Instructions to Alliance Trust Savings

Please complete both Sections A and B and return to Alliance Trust Savings Limited, PO Box 164, 8 West Marketgait, Dundee DD1 9YP. This form should be used if you have a financial adviser and you wish to transfer investments into an existing Alliance Trust Savings Stocks & Shares ISA. If you do not already have a Stocks & Shares ISA with us, you will need to open one. Your financial adviser can do this for you online at www.alliancetrustsavings.co.uk/adviser, or by completing an *Application Form*.

Before completing this form it is important that you read the *ISA Key Facts*, *Charges Guide* and the *Terms and Conditions* document. These documents can be requested from your financial adviser.

If you require any assistance in completing this form, you should speak with your financial adviser.

1. Transfer details

If you are already an Alliance Trust Savings Stocks & Shares ISA customer, provide your eight digit Account Reference Number.

Account Reference Number: | | | | | | |

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

Name of the ISA manager of the ISA you are transferring to Alliance Trust Savings:

2. Investment instructions

When we receive your cash we will hold it in your Account as cash. Your financial adviser can then make your investment instructions online. By investing online our lower online dealing charges will apply. Please consult the *Charges Guide* for Advised Clients for details on the rates relevant to your product. This is available from your financial adviser. Please note if you fail to pay charges related to your Account, we will reserve the right to disinvest assets in order to pay any outstanding charges. We offer a wide range of investments, your financial adviser can provide you with a list of the investments we offer.

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. A small proportion of funds do not have a clean share class equivalent. In this instance you will remain within the retail share class.

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 ISA remain true and valid
- If we accept the transfers from the transferring ISA Manager, we will apply the transferred assets to your Stocks & Shares ISA as instructed by you in this *Transfer In Request Form* to be held under the terms of that Stocks & Shares ISA
- Your Stocks & 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* and documents referred to in it (the 'Governing Document') as amended by us from time to time.

5. Declaration to Alliance Trust Savings and signature

- I confirm that this form relates to a proposed transfer to my Alliance Trust Savings ISA.
- I authorise and instruct you to transfer and hold sums and assets from the plan(s) as listed in Section B directly to Alliance Trust Savings and to provide any instructions and/or discharge required by any relevant third party to do so.
- I authorise Alliance Trust Savings, the current provider/s and any financial intermediary named in this application to obtain from each other, and release to each other, any information that may be required to enable the transfer of sums and assets to Alliance Trust Savings.
- I accept responsibility in respect of any claims, losses, expenses, additional tax charges or any penalties that Alliance Trust Savings and the current provider may incur as a result of any incorrect, untrue, or misleading information in this application or given by me, or on my behalf, or of any failure on my part to comply with any aspect of this application. This includes where I have been asked to provide any original policy document(s) in return for the transfer of funds and I am unable to do so.
- I understand that any cash transferred will remain in the Deposit Account until such time as I ask you to arrange for it to be invested.
- I undertake to ensure that sufficient cash is available in my Account to pay any instalment which may be due on investments transferred in as and when you require payment to be made.
- 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.
- To the best of my knowledge and belief all information given on this form is true, correct and complete.
- 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.

Signature: 

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

6. ISA statement

Please tick here to confirm that you have enclosed a recent statement for the ISA you are transferring

Alliance Trust Savings

PO Box 164, 8 West Marketgait, Dundee DD1 9YP

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Alliance Trust Savings Limited 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 Limited gives no financial or investment advice. 'Alliance Trust Savings', 'ATS' and 'AT Savings' are all brand names of Alliance Trust Savings Limited together with the 'Alliance Trust Savings' logo are owned by and used with the permission of Alliance Trust PLC, the previous owner of Alliance Trust Savings Limited.



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Stock & Shares ISA

Transfer In Request Form for Advised Clients

Section B – Instructions to the manager of the ISA 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 ISA manager of the ISA you are transferring to Alliance Trust Savings

To: (ISA manager)

Name: _____

Address: _____

Postcode: _____

Daytime number: _____

To: (Customer)

Name: _____

Address: _____

Postcode: _____

2. Transfer details

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

ISA Account Number: _____

ISA type: Cash ISA (Go to Section 3)

OR

Stocks & Shares ISA (Go to Section 4)

Are you transferring cash/assets purchased with subscriptions made in the current tax year?

Yes No

Any subscriptions you have made this tax year must be transferred in full.

3. Transferring a Cash ISA

I wish to transfer my Cash ISA in: Full OR Part

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

4. Transferring a Stocks & Shares ISA

Do you wish to transfer the full value of the Stocks & Shares ISA?

If 'Yes', go to Section 4a

If 'No', go to Section 4b

4(a) Transfer my Stocks & Shares ISA in full

Indicate below how you wish to transfer your Stocks & Shares ISA to Alliance Trust Savings.

Cash only

Investments or a mix of Investments and Cash

Confirm in declaration in Section 6 that you are authorising your provider to sell your Investments to Cash prior to transfer, please note that your provider might apply a charge for the sales.

Complete the Investment details in Section 4c.

4(b) Transfer only part of my Stocks & Shares ISA

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

Indicate below how you wish to transfer your Stocks & Shares ISA amount to Alliance Trust Savings.

Cash only

Investments or a mix of Investments and Cash

Confirm in declaration in Section 6 that you are authorising your provider to sell your Investments to Cash prior to transfer, please note that your provider might apply a charge for the sales.

Complete the Investment details in Section 4c.

4(c) Investments to be transferred in-specie or sold to cash

Investments to be transferred

Investment name	ISIN/TIDM (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
		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

4. Transferring a Stocks & Shares ISA (continued)

To be completed by Alliance Trust Savings

Investments not available on Alliance Trust Savings platform.

5. 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 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.

6. Declaration and Signature

- I authorise you to make such arrangements as are required to transfer the investments in my Account to Alliance Trust Savings.
- I promise to accept responsibility in respect of any claims, losses and expenses that you may incur as a result of any incorrect information provided by me in this application or of any failure on my part to comply with any aspect of this application.
- I undertake to ensure that sufficient cash is available in my Account to pay any instalment which may be due on investments transferred as and when you require payment to be made.
- I authorise you to confirm to Alliance Trust Savings that you have received these instructions and are processing them.
- I authorise you to supply Alliance Trust Savings with any information they require about my Account and comply with instructions given to you by Alliance Trust Savings regarding this transfer.
- I confirm that any investments which are not held on the Alliance Trust Savings' platform can be sold and transferred as cash.

Signature: 

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

Instructions to current ISA manager

Please:

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

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 ISA in the form of cash and you should ascertain 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 your ISA. Certain elements of our products may be priced differently to those of your current ISA 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.

7. Checklist

Please enclose the following:

Most recent valuation/statement

ISA Application Form (if you are not already an Account holder)

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