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.

Alliance Trust Savings

First Steps Account

Instruction 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.

You can use this form to submit your postal and automatic dealing instructions. You do not need to complete every section of this form. However, you must give us your First Steps Account number and signature on each page of this form that you complete.

If you have a Personal ID and password, you can also provide your investment dealing instructions online at **alliancetrustsavings.co.uk** or by authenticated telephone call (with your Personal ID and password) by calling your Customer Services Team on **01382 573737**.

Please note that you will incur higher charges for postal dealing than online. Full details can be found in our *Charges Guide* at **alliancetrustsavings.co.uk**.

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.

Postal dealing

We will execute instructions on the business day after we receive them.

Any investment instructions given on this form will be purchased at our offline (postal) dealing rates, with exception of our Inclusive Fee option where this does not apply.

With this form you can:

- Sell investments (Section 2)
- Sell investments and reinvest the proceeds (Section 2)
- Make additional payments into your Account (Section 3)
- Purchase investments (Section 4)

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 5)
- Set up a regular transfer from your Deposit Account (Section 6)
- Set up or amend Direct Debit instructions (Sections 7)

Any new instructions you give us on this form will replace any existing instructions we have for Sections 5, 6 and 7.

1. Personal details

First Steps Account number:	Permanent residential address:
Title:	Postcode:
First name(s):	Phone number:
Surname:	Mobile number:

Alliance Trust Savings
PO Box 164, 8 West Marketgait, Dundee DD1 9YP
T +44 (0)1382 573737 **F** +44 (0)1382 321183 **E** contact@alliancetrustsavings.co.uk **alliancetrustsavings.co.uk**

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.

Postal dealing instructions

First Steps Account number: | | | | | | | | |

2. 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.

If you are selling and 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.

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. It is important 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 5) 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 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 PRIIP (e.g. investment trust) you must confirm that you have read the relevant *Key Investor Information Document (KIID)* or *Key Information Document (KID)*. Please tick the box below.

I confirm that I have downloaded and kept a copy of the relevant *Key Investor Information Document (KIID)/ Key Information Document (KID)** ☐

* This is available online on our Investment Selector/Research tool or via the fund provider directly.

Signature

Signature: ✗ Date: D D M M Y Y

Postal dealing instructions

First Steps Account number: | | | | | | | | |

3. Make additional payments

Complete this section if you wish to send us a cheque to make additional payments to your First Steps Account.

Amount: £

Tick here to confirm that you have attached your cheque. Cheques should be made payable to Alliance Trust Savings Limited. ☐

You can provide purchase instructions, including any additional payments, in Section 4 below.

If you have not yet decided which investments you would like to make, please leave Section 4 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.

4. Purchase investments

Complete this section to give us your purchase instructions using either:

- Your additional payments (see Section 3).
- Your additional payments and cash already available in your Deposit Account.
- Cash already available in your Deposit Account.

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 5) 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. It is important 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 or sell your investments 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 PRIIP (e.g. investment trust) you must confirm that you have read the relevant *Key Investor Information Document (KIID)* or *Key Information Document (KID)*. Please tick the box below.

I confirm that I have downloaded and kept a copy of the relevant *Key Investor Information Document (KIID)/ Key Information Document (KID)** ☐

* This is available online on our Investment Selector/Research tool or via the fund provider directly.

Signature

Signature: ✗

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

Automatic dealing instructions

First Steps Account number: | | | | | | | | |

5. 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, tick the relevant box below. This will set the Minimum Purchase Level for all Security Accounts within your First Steps Account 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, 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:** Select one Minimum Purchase Level box only for each investment you have listed.

Signature

Signature: ✗

Date: D D M M Y Y

Automatic dealing instructions

First Steps Account number: | | | | | | | | |

6. Regular transfers from Deposit Account

You can use this section to make regular transfers from your Deposit Account to any of your Security Accounts.

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 5).

Transfer from my Deposit Account to my Security Accounts listed below: £ (minimum £50)

Take my transfer: Monthly ☐ Quarterly ☐ Half-yearly ☐ Yearly ☐

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 5) 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. It is important that the percentage amounts in this column add up to 100%.

How we will place your order: We may purchase or sell your investments 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.

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.

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 PRIIP (e.g. investment trust) you must confirm that you have read the relevant *Key Investor Information Document (KIID)* or *Key Information Document (KID)*. Please tick the box below.

I confirm that I have downloaded and kept a copy of the relevant *Key Investor Information Document (KIID)/ Key Information Document (KID)** ☐

* This is available online on our Investment Selector/Research tool or via the fund provider directly.

Signature

Signature: ✗

Date: D D M M Y Y

Automatic dealing instructions

First Steps Account number: | | | | | | | | |

7. 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 on the next page. 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.

Amend an existing 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, tick here. ☐

OR Set-up a new Direct Debit instruction ☐

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 5) 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. It is important that the percentage amounts in this column add up to 100%.

How we will place your order: We may purchase or sell your investments 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.

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 PRIIP (e.g. investment trust) you must confirm that you have read the relevant *Key Investor Information Document (KIID)* or *Key Information Document (KID)*. Please tick the box below.

I confirm that I have downloaded and kept a copy of the relevant *Key Investor Information Document (KIID)/ Key Information Document (KID)** ☐

* This is available online on our Investment Selector/Research tool or via the fund provider directly.

Signature

Signature: ✗

Date: D D M M Y Y

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.

Alliance Trust Savings

Direct Debit Form

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

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

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

DIRECT Debit

Full name and address of your Bank/Building Society

To the Manager:

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@alliancetrustsavings.co.uk **alliancetrustsavings.co.uk**

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.

PS ATS FS F 0010 (10821)

Direct Debit guarantee

This guarantee should be detached and retained by the payer.

DIRECT Debit

- The Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits
- If there are any changes to the amount, date or frequency of your Direct Debit Alliance Trust Savings will notify you (normally 10 working days) in advance of your account being debited or as otherwise agreed. If you request Alliance Trust Savings to collect a payment, confirmation of the amount and date will be given to you at the time of the request
- If an error is made in the payment of your Direct Debit, by Alliance Trust Savings or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society
- If you receive a refund you are not entitled to, you must pay it back when Alliance Trust Savings asks you to
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.