Private Client Service

WEALTHTIME©

Stocks and Shares ISA Application Form

This Application Form must be signed and completed before Wealthtime can set up your Stocks and Shares ISA. Please note you must be an existing Wealthtime Private Client Service Client, otherwise please complete the Composite Wealthtime Private Client Service Application Form not this one. Please note that some sections are MANDATORY and the Application Form cannot be accepted until these mandatory sections are completed.

Please do not complete this form if you wish to make an Additional Permitted Subscription or transfer an Additional Subscription Allowance from another ISA manager.

Before completing this Application Form please ensure you have read the Wealthtime Private Client Service Key Features and Terms and Conditions and are satisfied that this Product is appropriate for you. An ISA will not be opened unless a subscription payment is received (with the Application), regular payments are established by Direct Debit or an ISA Transfer Application Form is enclosed.

1a Personal Details (Mandatory)

Mr ☐ Mrs ☐ Ms ☐ Miss ☐

Other ☐ If 'Other' please state

Forename(s)

Surname

Date of birth

National Insurance Number

I have never had a National Insurance Number (please tick box if applicable) ☐

Client Number

Permanent residential address

Postcode

Please note your residential address must be in the UK at the time the ISA is opened and you must also be resident in the United Kingdom to be eligible to subscribe to an ISA. Please see the ISA declaration for more details.

Are you a tax resident of the United Kingdom? Yes ☐ No ☐

Are you a tax resident of any other jurisdiction? Yes ☐ No ☐

If 'Yes' please name all other jurisdictions

Please provide your Tax Identification Number (TIN) for each jurisdiction (other than the UK) of which you are a tax resident. This is the number allocated by the tax authority of a jurisdiction you are tax resident in e.g. in the UK it is your National Insurance Number.

1b New Subscription Details

I apply to subscribe for a Stocks and Shares ISA for the tax year

2 0 1 7 / 2 0 1 8

and each subsequent tax year until further notice.

1c Subscription Details

1c (i) Lump sum payments

Lump Sum Payments (£)

Please tick as appropriate:

I wish to pay for my subscription by cheque ☐

(Please make cheques payable to 'Wealthtime Trustees Limited').

I wish to pay for my subscription from my Designated Personal Investment Portfolio Bank Account ☐

1c (ii) Regular payments

I wish to pay for my subscription by regular payments:

Regular Payments (£)

Frequency of regular subscriptions

Monthly ☐ Quarterly ☐

Half yearly ☐ Yearly ☐

Start date for regular subscriptions:

0 3 or 1 7

If regular subscriptions are to be made to your ISA please forward a completed Direct Debit Instruction to Wealthtime, a copy is available in the Literature Library at www.wealthtime.co.uk. Please allow **20 working days** for Wealthtime to set up any Direct Debit Instruction. Please note direct debits can only be taken from your bank account on either the 3rd or 17th of the month.

1d Details of ISA(s) to be Transferred

I wish to transfer my existing ISA(s) into a Wealthtime Stocks and Shares ISA ☐

Total number of ISAs to be transferred

You must complete a separate Transfer Application Form for each existing ISA Manager. Wealthtime will then forward this form to your existing ISA Manager.

If assets are to be re-registered into the ISA as part of an in specie transfer value, then Wealthtime will require a **current valuation** from the transferring ISA Manager and a list of assets including asset/unit holding, price and value. Wealthtime will then confirm which assets can be re-registered. If you send this information with this Application Form then this could speed up the process.

1e Surviving Spouse Additional Allowance

If you are eligible to make an Additional Permitted Subscription in respect of a deceased spouse's Wealthtime ISA please contact Wealthtime for further information.

Declaration (Important - Please Read)

Please note that once we have accepted this application form it will become part of the contract between you and Wealthtime for the provision of the Wealthtime Private Client Service and will be subject to the Terms and Conditions and to the Declaration you have made in respect of the provision of this service. Please note that Wealthtime means Wealthtime Limited or Wealthtime Trustees Limited where appropriate in the particular context and unless a specific company name is mentioned.

ISA Declaration

I acknowledge and accept the Terms and Conditions for the Wealthtime Private Client Service and have read and understood the Key Features.

I apply for a Wealthtime Stocks and Shares ISA and declare that to the best of my knowledge and belief, the information given on the Application Form is correct and complete and I undertake to inform Wealthtime, without delay, if there are any changes in the information contained in this Form.

I authorise Wealthtime to send copies of all statements issued in respect of my ISA and to disclose details of that ISA to my Financial Adviser as named on my original Wealthtime Private Client Service Application Form (or as subsequently amended by me as applicable). I authorise Wealthtime to facilitate the payment of Adviser Charges to my Financial Adviser in respect of my ISA.

I acknowledge that Wealthtime has not provided me with any advice under the terms of the Financial Services and Markets Act 2000, in respect of any aspect of my Wealthtime ISA.

I have not received and do not expect to receive from Wealthtime any advice in relation to my Wealthtime ISA, products or investments, including whether I should buy, retain or sell any particular investments.

I agree to be bound by the Terms and Conditions and Key Features of the Wealthtime Private Client Service.
I declare that:

- All subscriptions made, and to be made, belong to me.
- I am 18 years of age or over.
- I have not subscribed, and will not subscribe, more than the overall subscription limits in total to a cash ISA, a stocks and shares ISA and an Innovative Finance ISA in the same tax year.
- I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA and
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Wealthtime Limited if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties. I understand that if I am not resident for tax purposes in a tax year any subscriptions made in that tax year will have to be refunded. I understand that if I notify Wealthtime that I am moving to a non UK address Wealthtime will continue to accept subscriptions for the tax year of departure unless I tell them I expect to be not resident for the tax year. Subscriptions cannot be accepted for the following tax year and Wealthtime will be unable to accept any further subscriptions from me unless I declare to Wealthtime that I remain UK resident for tax purposes. (Guidance on the meaning of resident for tax purposes can be found on the HM Revenue and Customs website at www.hmrc.gov.uk/international/residence.htm).

I authorise Wealthtime Limited as the ISA Manager:

- To set up and administer my Wealthtime ISA.
- To arrange any transfer of an ISA that I may request from time to time.
- To arrange for its nominee to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash and
- To make on my behalf any claims to relief from tax in respect of ISA investments.

I hereby consent to Wealthtime Limited obtaining details from my existing ISA Manager and authorise the giving of any such details to Wealthtime Limited.

I declare that the Application Form has been completed to the best of my knowledge and belief.

I understand it is a serious offence to make false statements and that the penalties are severe and could lead to prosecution.

Client's signature (Please sign and date)

Full name of Client

Date

ISA Checklist

Before you return your completed Application Form please make sure you have actioned the following:

- Completed Section 1 (Personal Details) in full (These are mandatory)
- Signed and dated the Declaration (Mandatory)

Please return the signed and completed Application Form to your Financial Adviser.

ISA Transfer Application Form(s) if transferring existing ISA(s) into the Wealthtime ISA (One for each transfer) ☐

Completed Direct Debit Instruction if regular payments are to be paid ☐

Cheque made payable to 'Wealthtime Trustees Limited' for lump sum subscriptions ☐

If you require this document in an alternative format please contact us.

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Transfer Application Form

Please complete and return this Form to Wealthtime in order for us to process your ISA transfer. Wealthtime will send this Transfer Request Form to your existing ISA Manager and arrange for the ISA to be transferred in accordance with your instructions.

You will need to complete a separate Transfer Application Form for each ISA Manager you are transferring an ISA from.

1 Name and Address of Client

Full name

Date of birth

National Insurance Number

Permanent residential address

Postcode

2 Name and Address of Existing ISA Manager

I apply to transfer my existing ISA to the Wealthtime Stocks and Shares ISA (HMRC ISA Manager Reference Z1711)

Account number(s) of ISA to be transferred

Existing ISA Manager name

Existing ISA Manager address

Postcode

3 Transfers to be Made

I wish to transfer my existing:

Cash ISA ☐ Stocks and Shares ISA ☐

Innovative Finance ISA ☐

Please tick as appropriate:

Please sell the assets held in my existing ISA and transfer the cash proceeds to my Wealthtime ISA, **or** ☐

Please arrange for the re-registration of assets held in my existing ISA to my Wealthtime ISA* ☐

If it is not possible to re-register my existing ISA investments, please arrange for these to be sold and transferred in cash

Yes ☐ No ☐

* Any re-registration of investments into your Wealthtime ISA will be subject to your existing ISA Manager allowing this type of transfer and your investments being available on the Wealthtime Funds List. Please note that Wealthtime will not accept in specie transfers in of rebated/non clean share class funds. These will either need to be converted before they are in speciced or sold and transferred in cash.

4 Amount to be Transferred

Please tick as appropriate:

All current year subscriptions ☐

All previous year's subscriptions ☐

OR

Specified amount (£)

5 Transfer Authority and Declaration

Where applicable, I hereby authorise you to transfer the proceeds of the above ISA as soon as reasonably practical, to Wealthtime.

Where applicable I hereby authorise you to transfer the investments of the above ISA, as soon as reasonably practical, to Wealthtime Trustees Limited as nominee.

I hereby authorise you to provide Wealthtime with all such relevant information relating to my ISA in respect of my existing ISA, including, but not limited to, transaction and dividend histories and details, of the current portfolio, and its value.

I declare that I am 18 years of age or over and that I have not subscribed, and will not subscribe, more than the overall subscription limits in total to a cash ISA, a stocks and shares ISA and an Innovative Finance ISA in the same tax year. I authorise Wealthtime Limited as the ISA Manager to arrange for its nominee to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash and to make on my behalf any claims to relief from tax in respect of ISA investment. I agree to the Wealthtime ISA Terms and Conditions. I declare that this Application Form has been completed to the best of my knowledge and belief.

Signature

Printed name

Date

ISA

Instruction to your Bank or Building Society to pay by Direct Debit

Service User Number

4	3	0	0	6	0

Please complete the whole Form and return to:

Wealthtime Trustees Limited, The Oak House, Barford Lane, Downton, Salisbury, Wiltshire. SP5 3QA.

Names(s) of account holder(s)

Branch Sort Code

Bank or Building Society account number

Name and full postal address of your Bank or Building Society branch

To the Manager

Bank or Building Society

Address

Postcode

Instruction to your Bank or Building Society.

Please pay Wealthtime Trustees 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 Wealthtime Trustees Limited and, if so, details will be passed electronically to my Bank/Building Society.

Signature(s)

Printed name

Date

Banks and Building Societies may not accept Direct Debit Instructions for some types of account.

Your Direct Debit Guarantee

This 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 Wealthtime Trustees Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Wealthtime Trustees Limited 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 Wealthtime Trustees Limited 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 Wealthtime Trustees Limited 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.

This Guarantee should be retained by the client.

If you require this document in an alternative format please contact us.