

ISA Application Form

Please complete this form if you have:

- An existing individual Ascentric account and you wish to set up a stocks and shares ISA; or
- An existing Ascentric ISA that you wish to restart making subscriptions after stopping subscriptions in a previous tax year.

You can also use this application form to tell us you wish to make a transfer into an Ascentric ISA. If you wish to do this you must also complete the **ISA Transfer Instruction and return it with this form**. This form can be found on the platform.

Important: You do not need to be a UK resident for tax purposes to make a transfer into an ISA.

Please return this form, via your Financial Adviser, to Client Services, Trimbridge House, Trim Street, Bath BA1 1HB.

Should you have any questions, please contact your Client Services Team on 0345 076 6140.

Any missing information may result in either a delay in processing or the return of this application. Should you require any assistance with the completion of this form, please contact your Financial Adviser.

The 'Ascentric ISA' is a brand name for the Investment Funds Direct Limited Stocks & Shares ISA, provided by Investment Funds Direct Limited (IFDL), which is an authorised HMRC ISA Manager (no: Z1442).

Section 1 Individual Details

Personal Details

Title

Surname

Forename(s)

Date of Birth / /

National Insurance Number

If you have a National Insurance Number you must provide it.

You should be able to find your National Insurance Number on a pay slip, form P45 or P60, a letter from the HMRC, a letter from the Department of Work and Pensions, or pension order book.

If you do NOT have a National Insurance Number, please mark ✘ here

Nationality

If you have dual nationality or are not a UK National, please complete the following (you may need to contact your Financial Adviser to help you answer these questions).

Non-UK nationality

If EU: EU National ID Type

National Identifier

If you do not have your National Identifier, please mark ✘ here

Failure to provide us with a National Insurance Number or other National Identifier will mean you will be unable to trade in Exchange Traded Instruments on our platform.

Contact Details

Tel Home

Tel Work

Mobile

Address

Postcode

Country of Residence

Existing client reference

Section 2 New Subscription Details

I apply to subscribe for a stocks and shares ISA for the tax year 20 / 20 and each subsequent tax year until further notice.

Section 3 Subscription Details

Please indicate the amount you wish to subscribe to the stocks and shares ISA and confirm how this will be paid.

Lump Sum Subscription

Source of funds

Cheque

BACS/CHAPS

Please make cheques payable to **IFDL Client Nominee A/C**

Regular Monthly Subscriptions £

monthly

Date I wish the Direct Debit Instruction to start

 / /

Please complete the Direct Debit Instruction and return it with this form.
This form can be found on the platform.

Section 4 ISA Transfer Details

Please indicate the number of ISAs you wish to transfer to Ascentric

Please complete an ISA Transfer Instruction for each ISA transfer you wish to make and return it with this form. This form can be found on the platform.

Section 5 Product Details

Do you wish to appoint a Discretionary Fund Manager

Please mark **X** in the appropriate box to indicate Wrapper type:

Advisory*

Discretionary**

* Advisory Wrapper - You have agreed with your Financial Adviser that they can make investments on your behalf if you approve their advice.

** Discretionary Wrapper - You have agreed with your Financial Adviser that this Wrapper will be managed solely by them, and have provided your consent for them to make all investments on your behalf.

As explained in our Terms and Conditions, Ascentric will act on all of the instructions placed by your Financial Adviser in good faith that they are acting in accordance with their agreement with yourselves.

Section 6 Financial Adviser Charge Details

As an existing Ascentric account holder, your charging arrangements will already be in place, as previously agreed with your Financial Adviser.

Ongoing Adviser Charges, Initial Adviser Charges and any client authorised ad hoc charge requests will be subject to the rates agreed on the original Ascentric Client Application Form.

Section 6.1 Financial Adviser Declaration

To be completed by your Financial Adviser.

I hereby confirm that my client(s) has read the following documentation:

- Ascentric Terms & Conditions
- Ascentric Key Features Document
- Ascentric Charging Schedule

I confirm that:

I have obtained evidence to verify the identity of my client, which meets the standard evidence criteria set out within the guidance for the UK Financial Sector issued by Joint Money Laundering Steering Group. I understand and agree that Ascentric are reliant on me having completed this money laundering check. I also agree to provide you with copies of the ID relied upon should that be required for legal or compliance audit purposes and agree that Ascentric may need to carry a further risk assessment should my client not be physically present for identification purposes.

Please mark **X** in this box if your client(s) identity was verified without **face-to-face** contact.

N.B. The Registered Individual or Firm Principal/Director must sign and date.

Firm Name

FCA Firm Reference Number

Registered Individual (RI)

FCA Individual Reference Number

Authorised Signature (must be signed by the RI)

Date

 / /

Section 7 Client Declaration

I confirm the following:

- I have read and agree with all the information provided in this form.
- I have read and agree to the Ascentric Terms and Conditions.
- I confirm that my Financial Adviser has authorisation to deduct their charges as previously agreed on my original application form.

Section 7.1 Applying for an ISA

ISA Subscriptions only

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 annual subscription limit in total to any combination of permitted ISAs 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;
- 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 Investment Funds Direct Limited, which acts as the ISA Manager for Ascentric, 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 will inform Investment Funds Direct Limited of any other changes in my circumstances affecting any of the information on this application form; and
- I declare that I am not making this application on behalf of a non-individual entity.

ISA Subscriptions and ISA Transfers

I authorise Investment Funds Direct Limited 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
- Make on my behalf any claims to relief from tax in respect of ISA investments.

I agree to the ISA terms and conditions.

I declare that this application has been completed to the best of my knowledge and belief.

Data Protection

As described in our Terms and Conditions, the personal data that you provide to Investment Funds Direct Limited under this Application will be used by us in compliance with our obligations under the Data Protection Act 1998 and (with effect from 25 May 2018) the General Data Protection Regulation (EU Regulation 2016/679), along with applicable legislation amending, supplementing or replacing the General Data Protection Regulation (together, "Applicable Data Protection Law").

Our Privacy Policy explains how personal data will be collected, used and stored by us and will set out further information required to be provided under Applicable Data Protection Law to the individual to whom the personal data relates. Please see our Privacy Policy (which we will update from time to time) for more information. This is available from your Financial Adviser or on the Platform. If you provide us with information about other investors, you confirm that you will pass on a copy of our Privacy Policy to them so that they are aware of how their personal data will be collected, used and stored by us.

Applicant Name (Block Capitals)

Date

 / /

Signature

