skandia

selestia investment solutions™

Financial adviser details

Name of individual

Name of firm

Address and postcode of firm

FSA number

ISA application form

(covering two tax years) 2008/2009 – 2009/2010

Form Purpose

This form can only be used for lump sum ISA investments for **both tax years,** 2008/2009 and 2009/2010 (cheque payments only). Top-ups or new ISA investments for the 2008/2009 tax year only should be completed online by financial advisers.

Important Notes

Please enclose one cheque for both tax years (for example, if you are investing £7,200 this tax year and £7,200 for next tax year please enclose a cheque for £14,400).

The subscription for the next tax year will not be invested before 6 April 2009.

If you require phased investment, portfolio rebalancing or regular income withdrawals you will need to complete a standard online application form or alternatively you may request these options after your account has been set up.

1 Personal details

Part 1 – Applicant's details

Please quote your existing client reference number, if applicable

Existing ISA number, if applicable:

Title

○ Mr ○ Mrs ○ Miss ○ Other ▶ *please specify*

Surname

Full forename(s)

Date of birth ▶ *dd mm yyyy*

/ /

National Insurance number

○ (✓) Please tick here if you do not have a National Insurance number

Permanent UK residential address

Postcode

Crown employees

○ (✓) Please tick here if you are a Crown employee, or the spouse/civil partner* of a Crown employee (see Declaration point 1).

**as defined by the Civil Partnership Act 2004*

Contact telephone number ▶ *in case of query*

2 Subscription and fund choice

- Please complete the boxes below.
- Please tick here if this payment is to be made by a third party and complete section 3. (✔) ☐

TAX YEAR ENDING 05/04/2009	TAX YEAR ENDING 05/04/2010
Lump sum amount: £ .	Lump sum amount: £ .

Full name of Fund ▶ *these will apply for all investments selected*	Unit/Share type ie Inc/Acc†	Investment percentage
	TOTAL	1 0 0 %

An Investment Choice continuation sheet is available on request.

† *If no Unit/Share type (ie Inc/Acc) is stated, the accumulation units (where available) will automatically be applied. Where accumulation units have been selected and they are not available, income units will be automatically applied or vice versa. Any changes to the Unit/Share type stated above, due to error or omission by your financial adviser, will not be corrected retrospectively.*
If a fund instruction is illegible or otherwise invalid your investment will be placed into cash deposit until we receive valid instructions from you.
For more information on income and accumulation Units/Shares, refer to the Funds List.

3 Third party payer details

Any third party paying for your investment must complete this section.

Surname/Company name

Full forename(s)

Full postal address

Postcode

Date of birth ▶ *dd mm yyyy*

/ /

Company registration number ▶ *UK companies only*

Directors names ▶ *if applicable*

I acknowledge that, in providing the investment(s) for this account:

- I am making an outright gift and will have no entitlement to the account directly or indirectly
- I am 18 years of age or over.

I acknowledge that, where this is a company, the payment provided for this investment has been accounted for appropriately.

I have read the personal data statement in the Terms and Conditions and consent to my personal data being used in accordance with that statement.

Authorised signatory

Date ▶ *dd mm yyyy*

/ /

If there is more than one third party payer please photocopy and complete this section for each one and attach to this application.

4 Money laundering regulations 2007: applicant introduction certificate ▶ *to be completed by your financial adviser*

I/We certify that in accordance with the provisions of the UK Money Laundering Regulations 2007 and the Guidance Notes for the Financial Sector (as amended from time to time), I/we have verified the identity, address and source of funds of the applicant(s), and confirm having inspected the originals of the following documents.

If there is more than one third party payer, please photocopy and complete this section to verify the identity of each third party payer and attach to the application.

Evidence of name(s)

Type of document(s)

Applicant

Third party payer

Reference(s)/Account number(s)

Applicant

Third party payer

Date/Issue of document ▶ *dd mm yyyy*

Applicant / /

Date/Issue of document ▶ *dd mm yyyy*

Third party payer / /

Evidence of address(es)

Type of document(s)

Applicant

Third party payer

Date/Issue of document ▶ *dd mm yyyy*

Applicant / /

Date/Issue of document ▶ *dd mm yyyy*

Third party payer / /

Reference(s)/Account number(s)

Applicant

Third party payer

continued

4 Money laundering regulations 2007: applicant introduction certificate *(continued)* ▶ *to be completed by your financial adviser*

Identified the source of funds, including third party payer, if different to the applicant(s)

Detail(s)

The applicant(s) name(s) and address(es) as shown on this Application Form correspond to my/our records, and the applicant is applying on his/her own behalf and not as a nominee, trustee, or in a fiduciary capacity for any other person.

Note: Skandia MultiFUNDS Limited can accept as an alternative to the requirements above, an appropriate introduction certificate in accordance with the JMLSG Guidance Notes (as amended from time to time).

Financial adviser name

Financial adviser's signature

Date ▶ *dd mm yyyy* / / 2 0

5 Declaration, includes commission options and signature(s)

Please read this section carefully before signing and dating the declaration.

1. I apply to subscribe for a stocks and shares ISA for the tax year(s) indicated on this form and each subsequent year until further notice.

a) I declare that:

- all investments made, and to be made, belong to me;
- I am 18 years of age or over;
- where I am applying for a 2008/2009 ISA except where I am transferring a current tax year ISA, 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
- where I am applying for a 2008/2009 ISA I have not subscribed and will not subscribe more than £7,200 in total to a cash ISA and a stocks and shares ISA in the same tax year.
- where I am applying for a 2009/2010 ISA, 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
- where I am applying for a 2009/2010 tax year ISA I have not subscribed and will not subscribe more than £7,200 in total to a cash ISA and a stocks and shares ISA in the same tax year.
- I am resident and ordinarily 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 Skandia MultiFUNDS Limited if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

2. I authorise Skandia MultiFUNDS Limited

a) to hold my cash subscription, ISA investments, interest distributions, dividends and any other rights or proceeds in respect of those investments and any other cash; and
b) to make, on my behalf, any claims to relief from tax in respect of ISA investments; and
c) to sell units or shares in investments within my account to meet any charges, in accordance with the Terms and Conditions; and
d) to give effect to my instructions in accordance with the Terms and Conditions.

3. I understand that I will not receive contract notes relating to transactions involving the purchase or sale of investments which are carried out on a periodic basis in the manner agreed to in this application. Details of these transactions will be shown in the half-yearly statement which will be sent to me. In particular, such transactions include:

– regular investments payable by direct debit
– phased investments
– portfolio rebalances
– automatic withdrawals
– dividend reinvestments
– sales of units to meet Skandia MultiFUNDS Limited charges.

4. I agree to the current Terms and Conditions and have kept a copy, together with a copy of the Key Features Document.

5. I consent to my personal data being used in accordance with the Personal Data Statement in the Terms and Conditions.

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

continued

5 Declaration, includes commission options and signature(s) *(continued)*

Commission options ***to be completed by your financial adviser:***

Trail commission option ▶ *please tick one option only, if neither option is ticked fund-based trail will apply.*

○ **Fund-based trail**
up to 0.5% depending on the funds selected

OR

○ **Nominated trail of**
minimum 0.5% – maximum 1.5% ____ %

You must enter nominated trail in multiples of 0.10% or 0.25%. This will be treated as an additional charge on your client's account, and will be taken on a monthly basis by us selling units/shares from the investment. Any fund-based trail commission due to be paid to you will contribute towards the nominated trail commission payment, so fewer units/shares will need to be sold. Nominated trail will apply to the amount being invested on this application form only. If you would like nominated trail on additional investments, please remember to complete this section each time.

Initial commission ▶ *If these boxes are left blank, you will receive the maximum commission amount under your agreed terms with us.*

Please enter your agreed initial commission terms for this application ____ %

Rebate from initial commission ____ % ▶ *Please enter the % amount of commission you wish to rebate*

Switch commission

If your client agrees to pay you an amount each time they switch funds within the investment, please enter the percentage amount here. You may select between 0-3%, using multiples of 0.10% or 0.25%. ____ %

This will be treated as an additional charge on your client's account and will apply to all switch instructions received, even those where you have not given advice to your client.

The instructions given above will apply to all investments selected in section 2. If you wish to apply different commission options please use a new form for each investment.

I confirm I have read and agree to points 1-6 of the Declaration in section 5.
Where my financial adviser has completed the nominated trail commission box and/or the switch commission box above, I understand and accept that these will be treated as additional charges on my account.

Applicant's signature ▶ *all applicants must sign*

Date ▶ *dd mm yyyy* __ __ / __ __ / 2 0 __ __

PDF5846/29-0026/February 2009