FundsNetwork™

# Investment ISA (2019/2020)

**Execution Only application form** for single and/or regular savings payments, up to **£20,000**.

### How to fill in this form:

- Please use black ink and write clearly inside the boxes provided using capital letters
- Mark your answers with a cross in the appropriate box like this: ☒
- If you make a mistake, please correct it but don't use correction fluid
- **We may need to contact you if you don't complete all details correctly which may cause delays to your application.**
- If you have any queries about this form please ask your intermediary on
- **Please note:** An immediate family member who would like to pay into the account should complete section 2.

### What's next?

Please send your completed application form to:

ISA Ltd
16 High Street, Kegworth, Derby
DE74 2DA

We will open the Investment ISA and send you a Confirmation of Transaction.

## 1 About you

**Title**

☐ Mr ☐ Mrs ☐ Ms Other: ☐☐☐☐☐☐☐☐☐☐☐

**Surname**

☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

**First and other names in full**

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**Gender**

☐ Male ☐ Female

**Date of birth (DDMMYYYY)**

☐☐☐☐☐☐☐☐

**Crown employee?**
If your address is outside of the UK and you are a Crown Employee or the spouse/civil partner of a Crown Employee, please mark an X in this box. ☐

**National Insurance Number**
(This can be found on a payslip or a letter from HMRC)

☐☐☐☐☐☐☐☐☐

**No National Insurance Number?**
If you have never been issued with a National Insurance Number please mark an X in the box. ☐

**Are you a UK National only?** (Please mark an X in the box) ☐

**Are you a UK National and National of one or more other countries?** (tick box and list all other countries below) ☐

**Are you a National of Non-UK countries only? (**tick box and list all other countries below) ☐

**Nationality 1**

☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

**Nationality 2**

☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

**Nationality 3**

☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

**Nationality 4**

☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

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## 1 About you (continued)

From 3rd January 2018 in order to invest in exchange traded products (Investment Trusts or Exchange Traded Funds) we are required to capture a national ID for clients for one of their nationalities for reporting purposes. If your client is a UK Citizen, this is the National Insurance Number. If your client is dual national or a national of another country then another identifier may be required. Please refer to our guide for capturing nationalities. We are allowing capture of this information online so your clients can invest in existing or new exchange traded products after 3rd January 2018.

**National Identifier**

**Account number or Customer Reference Number** (existing customers only)

**Date of birth (DDMMYYYY)**

**Town of birth**

**Country of birth**

**Phone number**

**Alternate phone number**

**Email**

**Your address -** 'Care of' and PO Box are not acceptable. Only UK addresses are eligible unless you are a Crown Employee or the spouse/civil partner of a Crown Employee.

House number/name

Street, city, county and country

Postcode

**Driving Licence number** (If applicable - 18 characters as shown on your photocard)

**Employment Status**

☐ Employed ☐ Self-Employed ☐ Full-Time education ☐ Unemployed ☐ Pensioner

**Source of this investment**

☐ Savings from income ☐ Inheritance ☐ Income from salary

☐ Divorce Settlement ☐ Gift

☐ Sale of Property ☐ Sale of Investments/transfer

☐ Other (Please specify)

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## 2 Your investment choices

- The Investment ISA 2019/2020 has an allowance of **£20,000**.
- This allowance can be invested in stocks and shares or cash, or any combination of the two, up to a maximum limit of **£20,000** in this tax year.
- If you choose to make regular saving payments then you must complete the mandate details in Section 3. There is a monthly minimum investment of £25 for each fund and £50 for each application. **Any regular saving payments instructions given here will override any existing regular saving payment details for the account.**
- If you wish to choose an Investment Trust as a fund selection then the 'Investment Trust inside an ISA' application form must be used to apply.
- **Important: We do not accept third party payments.** Lump sum payments should be made by cheque, payable to Fidelity and the total mentioned should match the amount on the cheque being enclosed. **Cheques should be issued from your personal or joint bank account**, or, if an application is accompanied by a banker's draft or building society cheque, ensure that the bank or building society add their stamp and your name and address on the back.

**Please provide your fund choices and the amounts you want to invest below.**

**It's important to write the correct fund code and name clearly inside the boxes provided using capital letters – we use the code to determine your fund choice. Fund codes can change so please ensure you enter the correct code by visiting fidelity.co.uk**

| Fund code | Fund name | Lump sum (£) | Regular saving payments (£) |
|---|---|---|---|
| | | . | . |
| | | . | . |
| | | . | . |
| | | . | . |
| | | . | . |
| | | . | . |
| | | . | . |
| | | . | . |
| | | . | . |
| | | . | . |
| | CASH | . | . |
| | Total | . | . |

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## 3 Bank Account Details

**Any bank account details given in this section will override existing bank details that we may hold for you.**

**We do not accept payments from or make payments to third parties.**

**This section must be completed and will be used for:**

- Paying income out from the Income funds selected in section 2
- Any regular savings payments
- Any future redemption payment.

Please make sure that you sign and date the instruction below.

FundsNetwork™

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

DIRECT Debit

Please fill in the whole form using a ballpoint pen and send to:
FundsNetwork, PO Box 80, Tonbridge, TN11 9YA.

**Name and full postal address of your bank or building society**

To: The Manager Bank/building society

Address

Postcode

**Name(s) of account holder(s)**

**Bank/building society account number**

**Branch sort code**

**Service User Number**

| 4 | 4 | 6 | 1 | 3 | 8 |
|---|---|---|---|---|---|

**Reference**

**Instruction to your bank or building society**

Please pay Financial Administration Services Ltd 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 Financial Administration Services Ltd and, if so, details will be passed electronically to my bank/building society.

Signature(s)

Date

Banks and building societies may not accept Direct Debit Instructions for some types of account

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For a Building Society account please provide the following additional information to receive direct credit payments.

**Building Society Collection Account Number** (if applicable) *

* Building Society accounts – the building society collection account number can be obtained from your Building Society branch. Please ensure that your Building Society account will accept direct credit payments through the Banks Automated Clearing system. Fidelity does not accept instructions for payments to be made to an account other than the client's own personal account. If the account number and sort code are incorrect, Fidelity will not accept responsibility for any loss incurred by the applicant.

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## 4 Execution Only Intermediary details - to be completed by the intermediary

**Company stamp**

ISA Ltd
16 High Street
DE74 2DA

**Unique Intermediary Number**

5 5 0 1 0 8

**Office Use Only**
Please ignore

**FCA number**

I confirm that I am registered with the FCA to conduct business and my authorisation number is:

1 2 5 6 8 6

### Remuneration details

**Have you provided a personal recommendation?**

☒ No

**For Intermediary use only**

■ **Ongoing Fee**

**Request to pay for an Intermediary Ongoing Fee and Authorisation to sell units/shares.** Only complete this section where an Ongoing Fee is required. Ongoing Fees will accrue against all fee holdings within the client account.

**Please note** that the fee rate will not be processed as part of this transaction. This must be set up online by the Intermediary post the transaction.

**Existing Clients:** In proceeding with this application you are giving your Intermediary the authority to move your entire account to a fee basis.

**Annual Fee Rate**

0 . 5 0 %

**For office use only:** The Ongoing Fee section is for Intermediary use only, please do not process. Please place this investment into a fee pot only.

**Verification of identity**

☐ I/We confirm and consent to Fidelity's reliance on the fact that I/we have verified the client in accordance with the UK Money Laundering Regulations and standards set in guidance issued by the JMLSG and will retain the supporting documentation for 5 years after the end of the relationship with the client.

This confirmation must carry an original signature or electronic equivalent.
I/We confirm that I/we have provided the client with the appropriate documentation for their investment:

- The Key Features Document - Doing Business with FundsNetwork.
- The key information document applicable to the client's investment.
- Personal Illustration.
- The FundsNetwork Client Terms.

**Intermediary signature**

**Date signed**

(DDMMYYYY)

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## 5 Declaration and signature

Your ISA is managed by Financial Administration Services Limited, a Fidelity International Group company.
I apply to subscribe for a stocks and shares ISA for the tax year 2019/2020 and each subsequent tax year in which I choose to make a subscription.

**Intermediary Fees**
By signing the below, I agree to pay my intermediary an Ongoing Fee as stated on this application form and in accordance with the FundsNetwork Client Terms. I understand that this fee instruction may be applied across my entire account including any existing holdings, in accordance with my intermediary's Terms and Conditions. In relation to the Intermediary Ongoing Fee, I instruct FundsNetwork to deduct monies from my CashManager Account where available or sell units/shares from my largest fund holding. I understand that these fees will become irrevocably due and payable immediately on receipt of the monies by Fidelity and that Fidelity will then hold this money in a Fidelity Corporate Account as agent of my Intermediary.

I declare that:

- My intermediary has provided me with the following documents either as an electronic version, which I have saved or printed, or as a paper copy and I have read:
  - Key Features Document (Doing Business with FundsNetwork)
  - the key information document
  - Personal Illustration
  - and accept the FundsNetwork Client Terms. For your own benefit and protection you should read the FundsNetwork Client Terms carefully before signing them. If you do not understand any point or have not received one or all of the documents above please contact your intermediary.
- All subscriptions made, and to be made, belong to me and that I am 18 years of age or over.
- I have not subscribed and will not subscribe more than the overall 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 Fidelity if I cease to be so resident or to perform such duties or to be married to, or in a civil partnership with, a person who performs such duties.
- I authorise Financial Administration Services 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;
  - to make on my behalf any claims to relief from tax in respect of ISA investments.
- The information given by me is correct to the best of my knowledge, and I will inform Fidelity immediately of any changes to the information contained therein.
- As a FundsNetwork customer, an element of the monies you hold in your account may pay either commission or fees to your intermediary(s). When we receive this form, we will take this as your authority to link the relevant plan year, fee or post-2012 commission holdings to the intermediary specified on this form.

### Signing on behalf of others

If you are an attorney signing on behalf of the applicant, you must attach:

- an original sealed Court of Protection/Enduring Power of Attorney stamped by the Office of the Public Guardian (where the client is mentally or physically incapacitated), or
- Power of Attorney with a signed letter confirming that the client is prevented from signing the application as a result of their physical incapacity (in cases of physical incapacity only).

Copies of the Power of Attorney must, on every page, be certified as true copies with:

- the words 'I certify this to be a true copy of the original', and
- the certifier's signature and printed name, date, official stamp or professional capacity.

Documents can be certified by a solicitor, justice of the peace, notary public, commissioner of oaths or stockbroker.

### Your signature

**Signature**

**Print name**

**Date signed**

**(DDMMYYYY)**

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