

## Individual Savings Account Stocks & Shares Application

This application relates to a Stocks & Shares ISA for the tax year commencing 6th April     
and for subsequent years where appropriate or to an ISA Transfer from another ISA Manager,  
subject to the current published terms & conditions

This form must be completed in full, signed and dated and returned to King & Shaxson Capital  
Limited, 6th Floor, Candlewick House, 120 Cannon Street, London, EC4N 6AS.

### Personal Details (Please use block capitals)

Title (Mr/Mrs/Miss/Ms)	<input type="text"/>	Surname	<input type="text"/>
First Name (in full)	<input type="text"/>		
Permanent Residential Address	<input type="text"/>		
	<input type="text"/>	Postcode	<input type="text"/>
Telephone No (Office)	<input type="text"/>	(Home)	<input type="text"/>
Date of Birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
National Insurance Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	If you do not have a National Insurance Number, please tick here	<input type="checkbox"/>

### Investment Selection

I wish to invest  £  in (please tick one option):  
(The maximum investment amount is your annual allowable subscription limit for a  
Stocks & Shares ISA).

- Personal Discretionary Service
- Enhanced Ethical Portfolio
- Standard Ethical Portfolio

- I wish to transfer my current Stocks & Shares ISA(s) into the King & Shaxson ISA,  
please find enclosed my Transfer Application
- I enclose my cheque payable to Pershing Securities Limited

Cheques must either be drawn on your own or your joint account. The cheque must be  
payable to 'Pershing Securities Limited'. Pershing Securities Limited are agents and  
custodians of King & Shaxson Capital. For a building society cheque or banker's draft  
your name must appear on the front of the cheque, or on the back of the cheque  
accompanied by the building society's or bank's official stamp and signature. We do not  
accept payments from other third parties. We do not accept payment by any other method.

### Income

- Would you like dividend income paid to you? YES/NO
- Would you like to receive a fixed monthly income? YES/NO
- I require a fixed monthly income of: Amount  £  (Minimum £50 pm)

If you have answered YES for any of the above questions, please provide your bank details below.

Name of Bank	<input type="text"/>		
Address	<input type="text"/>		
	<input type="text"/>	Postcode	<input type="text"/>
Name of Account Holder	<input type="text"/>		
Bank sort code	<input type="text"/> <input type="text"/> <input type="text"/>	Account number	<input type="text"/>

## Contact details

**Nat Lewis**  
Assistant Fund Manager  
Ethical Investment  
nat.lewis@kasl.co.uk  
Tel: 020 7426 5979

**John Fleetwood**  
Development Manager  
Ethical Investment  
john.fleetwood@kasl.co.uk  
Tel: 0845 641 0674

**King & Shaxson**  
Capital Limited  
6th Floor  
Candlewick House  
120 Cannon Street  
London, EC4N 6AS

Tel: 020 7426 5950  
Fax: 020 7626 1757  
www.kingandshaxson.com

King & Shaxson Capital Limited Reg. No. 2863591 and King & Shaxson Limited Reg. No. 869780, members of the London Stock Exchange, and King & Shaxson Asset Management Limited Reg. No. 3870667. The Registered Office for all companies is 6th Floor, Candlewick House, 120 Cannon Street, London, EC4N 6AS. All companies are registered in England and are part of the PhillipCapital Group.

King & Shaxson Capital Limited (FSA Reg. No. 169760), King & Shaxson Limited (FSA Reg. No. 179213), and King & Shaxson Asset Management Limited (FSA Reg. No. 193698) are Authorised and Regulated by the Financial Services Authority, 25 The North Colonnade, Canary Wharf, London E14 5HS.

EQUITIES  
BONDS & CASH  
ASSET MANAGEMENT  
TREASURY SOLUTIONS  
KING & SHAXSON

I apply to subscribe for a Stocks & Shares ISA for the tax year commencing 6 April   and each subsequent year until further notice

## I certify the following:

1. I am 18 years of age or over
2. 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 King & Shaxson Capital 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.
3. All subscriptions made, and to be made, belong to me\*
4. I have not subscribed and will not subscribe more than the overall subscription limit in total to a Cash ISA and Stocks & Shares ISA in the same year.
5. I have not subscribed and will not subscribe to another stocks & shares ISA in the same tax year that I subscribe to this stocks & shares ISA.

## I authorise King & Shaxson Capital Limited, as ISA Managers:

- (a) To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- (b) Subject to any overriding ISA regulations, my risk profile and investment objectives will be set out in my account opening documentation.
- (c) To make on my behalf any claims to relief from tax in respect of ISA investments.
- (d) On my written request and at my risk, to transfer or pay to me as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or cash.

## I declare that:

- (i) this application has been completed to the best of my knowledge and belief and
- (ii) I will undertake to inform King & Shaxson Capital Limited of any changes in the information provided on this form and
- (iii) I confirm that I have read and understood the King & Shaxson ISA Terms & Conditions and Key Features documents and agree to be bound by the Terms & Conditions.

\*Not applicable to ISA Transfers

Signature of applicant	<input type="text"/>
Date	<input type="text"/>
Name in block capitals	<input type="text"/>

FOR THE PERSONAL DISCRETIONARY SERVICE OPTION A 'VALUES-BASED INVESTMENT QUESTIONNAIRE' IF NOT PREVIOUSLY COMPLETED MUST BE COMPLETED IN FULL, SIGNED AND DATED. THIS QUESTIONNAIRE SHOULD BE RETURNED ALONG WITH THIS FORM,

<b>For Office Use</b>	
Executive Code	<input type="text"/>
Discretionary	<input type="text"/>

<b>Intermediary Details (For intermediary use only)</b>	
Agency Number	<input type="text"/>
Adviser Name	<input type="text"/>
Commission Required:	<input type="text"/> % Initial <input type="text"/> % Renewal
(If this isn't completed we will assume 3% initial and 0.5% renewal)	
Company Name	<input type="text"/>
Company Address	<input type="text"/>
	<input type="text"/>