

KING & SHAXSON

Individual Savings Account - Transfer Application

Please complete this form and return to: King & Shaxson Capital Limited, 6th Floor, Candlewick House, 120 Cannon Street, London, EC4N 6AS

If the ISAs to be transferred are held by more than one account manager please complete a separate transfer application for each manager.

This form will act as authorisation for your existing ISA Manager to transfer your investment to King & Shaxson Capital Limited.

If you are not an existing customer please ensure that you return the required 'Know Your Customer' Identification so that we can process your application promptly. A list of 'know your customer' requirements are detailed on the last page of this application form.

Personal details (Please use block capitals)

Title (Mr/Mrs/Miss/Ms)	<input type="text"/>
First Name (in full)	<input type="text"/>
Surname	<input type="text"/>
Permanent Residential Address	<input type="text"/> <input type="text"/> <input type="text"/>
	<input type="text"/> Postcode <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"/> <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"/>
Do you have an existing account with King & Shaxson?	
King & Shaxson Account Number	<input type="text"/>

Existing fund manager details (Please use block capitals)

Name of fund manager (from whom you wish to transfer)	<input type="text"/>
Address	<input type="text"/> <input type="text"/> <input type="text"/>
	<input type="text"/> Postcode <input type="text"/>
I hereby instruct my current ISA Manager to:	Please tick one box
Liquidate the assets within my ISA and forward the proceeds	<input type="checkbox"/>
Transfer my current ISA investments	<input type="checkbox"/>
as soon as practicable to my new account manager at King & Shaxson Capital Limited, 6th Floor Candlewick House, 120 Cannon Street, London, EC4N 6AS.	

Transfer investment choices

I wish to invest as follows:	Please tick one box
Personal Discretionary Service	<input type="checkbox"/>
Enhanced Ethical Portfolio	<input type="checkbox"/>
Standard Ethical Portfolio	<input type="checkbox"/>
If you do not have an existing account with King & Shaxson you will need to complete a separate application form. You will also need to complete a 'Values-based Investment Questionnaire' if applying for the discretionary management service.	

Declaration and authorisation

I declare that:

- All investment subscriptions made now and in the future belong to me.
- I am aged 18 years or over.
- 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 tax year.
- If applying for an ISA, I have not subscribed and will not subscribe to any other ISA in the same tax year that I subscribe to this King & Shaxson Stocks & Shares/Cash ISA.
- If transferring or subscribing to an ISA in the current tax year, I understand that this does not mean that I am obliged to invest with King & Shaxson Capital Limited in the following or future tax years. However, if I wish to do so, I will not be required to complete a further application form.
- 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 and 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 to be married to or in a civil partnership with a person who performs such duties.

Data protection

In respect of the personal data that you provide, the data controller is King & Shaxson Capital Limited. King & Shaxson Capital Limited may hold the information provided by you for purposes in connection with the contract (and related services), which you have applied for. This includes the processes of administration and customer complaint handling. Where necessary, we will process 'sensitive data' about you in accordance with the Data Protection Act. We have a confidentiality policy in place, which means that sensitive information is held securely and access is limited to those who need to see it. Your personal information may be shared with King & Shaxson Asset Management Limited. In addition, King & Shaxson Capital Limited will disclose information to certain bodies where we have a legal obligation to do so, for example, to regulatory bodies or authorities such as the Financial Services Authority or HMRC. King & Shaxson Capital Limited may also be required to disclose information in order to comply with money laundering laws and for other purposes, for example, detecting crime. We will also share permitted relevant information with persons acting on your behalf (for example, your financial adviser) to allow them to fully carry out their role as your agent.

I authorise King & Shaxson Capital Limited to:

- Hold my cash subscription, ISA Account Plan investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- Make on my behalf any claims to relief from tax in respect of my ISA Account Plan investments.

I confirm that I have read and understood the King & Shaxson ISA Terms & Conditions and Key Features document and agree to be bound by the Terms & Conditions. I understand that the commencement of my ISA may be delayed or rejected if this application form is not complete in all respects. I declare that the information contained in this application form is correct to the best of my knowledge and belief.

I consent to the processing of data as explained above.

Signature

Date

Intermediary details (For intermediary use only)

Agency number

Adviser name

Commission required:

% Initial

% Renewal

(If this isn't completed we will assume 3% initial and 0.5% renewal)

Company name

Company address

Individual
Savings Account -
Transfer Application

Contact details

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

John Fleetwood
Development Manager
Ethical Investment
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Tel: 0845 641 0674

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120 Cannon Street
London, EC4N 6AS

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

KING & SHAXSON

'Know Your Customer' Identification

The information required from each individual applicant that is not an existing investor with King & Shaxson Capital Limited is listed below.

- A certified copy of a valid passport, driving licence or identification card bearing evidence of the applicant's identity. (Certified by a police officer, a qualified accountant, a practicing solicitor, an IFA or other person acceptable to the Company)

and

- An original certified true copy of an item bearing evidence of the applicant's address (e.g. council tax bill, bank statement, utility bill (not mobile phone), mortgage statement)

Completion of this application form

Transfer investment choices

If you are subscribing to the Personal Discretionary Service and you do not already have a Personal Discretionary account you will need to complete a separate application form and 'Values-based Investment Questionnaire'. See the Personal Discretionary area of our website (www.kingandshaxson.co.uk/ethical) for an application form or you can ask your IFA (subject to our minimum investment amount).

If you are subscribing to either the Standard Ethical Portfolio or the Enhanced Ethical Portfolio products and you are not a current client of King & Shaxson you will need to complete an application form only (subject to minimum fee levels).

EQUITIES
BONDS & CASH
ASSET MANAGEMENT
TREASURY SOLUTIONS
KING & SHAXSON

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.