



# ISA Transfer Form

(Stocks & Shares) 2022/2023 Tax Year

Please complete in **BLOCK CAPITALS** and return to: JTC Fund & Corporate Services, HX1, 16th Floor, Harbour Exchange Square, London, E14 9GE

This Transfer Form is accurate as from **06/04/22**.

## 1 Personal Details (please complete this section in full)

Account Number (if known):

Mr/Mrs/Ms/Miss/Other:

Surname:

Full first name(s):

Telephone:

Male ☐ Female ☐

Date of Birth: DD / MM / YYYY

Current address:

Name or Number of Property:

Address:

City:

Country: Postcode:

National Insurance Number: \_\_\_\_ / \_\_\_\_ / \_\_\_\_ / \_\_\_\_ / \_\_\_\_

If you **do not** have a NI Number, please tick here ☐

Email:

I confirm that I am solely a UK resident for tax purposes and that I am not a US citizen: ☐

If at current address for less than two years, please supply previous address:

Name or Number of Property:

Address:

City:

Country: Postcode:

Please detail any residency or citizenship you hold in any other country than the UK:

## 2 Details of Accounts (please select one or more of the following)

### Option 1: Transfer Existing Stocks & Shares ISA

☐ I wish to transfer the whole of my current year's ISA subscription

☐ I wish to transfer all my previous years' ISA subscriptions

☐ I wish to transfer £\_\_\_\_\_ or \_\_\_\_\_% of my ISA holding for previous years.

Please indicate Slater Fund to be transferred to:

☐ I wish to transfer a specific whole tax year(s) [e.g. 2021/22] \_\_\_\_\_

### Option 2: Transfer Existing Cash ISA

☐ I wish to transfer the whole of my current year's ISA subscription

☐ I wish to transfer all my previous years' ISA subscriptions

☐ I wish to transfer £\_\_\_\_\_ or \_\_\_\_\_% of my ISA holding for previous years.

☐ I wish to transfer specific whole tax year(s) [e.g. 2021/22] \_\_\_\_\_

## 3 Nominated Bank Account

Complete this section to set up a new nominated bank account. We will use the details below to pay any future income/withdrawals to:

Name of Account Holder:

Account Number:

Sort Code:

#### 4 Client Identification

In order to comply with Anti-Money Laundering Regulations, we are required to verify the identity and address of the applicant. Please could you send us one document from **each** of the below categories for the registered holder (Section 1)

Category A - Identity Document
Current Signed Passport or Certified Copy
Driving Licence* or Certified Copy
Birth Certificate

Category B - Address Document
Utility Bill
Bank/Building Society/Financial Services Statement
Government Issued Document
Driving Licence* or Certified Copy

\* A driving licence cannot be used for both categories

NB (1) - The address on all documents must match your listed address on this form.

NB (2) - Utility Bills and all Bank/Building Society/Financial Services documents must be less than 3 months old.

For more information regarding Client Identification, please refer to our Anti-Money Laundering booklet that can be found in the Key Documents page on our website.

**Whilst we can accept original documentation, we do not advise customers to send in original copies unless it is sent through registered post, we will then return in the same manner. We are unable to accept liability for any loss or damage upon return. Alternatively a copy of the documents can be sent as long as it is signed by a certifier. The certifier must write the date, full name, address and contact telephone number.**

##### Document Certification:

The following people can certify documents:

- A director, officer or manager of a regulated financial services business which is operating in an equivalent jurisdiction, or of a branch or subsidiary of a group headquartered in an equivalent jurisdiction, which applies group standards to subsidiaries and branches worldwide and tests the application of, and compliance with, such standards.
- A lawyer or notary public (who is a member of a recognised professional body).
- An actuary or accountant (who is a member of a recognised professional body).
- A tax advisor (who is a member of a recognised professional body).
- A member of the judiciary, a senior civil servant or a serving police or customs officer.
- An officer of an embassy, consulate or high commission of the country of issue of documentary evidence of identity.
- An individual that is qualified to undertake certification services under the authority of the Certification and International Trade Committee.

**The certifier must certify that he/she has seen the original documentation and must use the following wording when certifying any documents as true copies, ensuring the relevant statement is copied in its entirety:**

- Proof of identity (photographic identity documents):

*"Having seen the individual and the identification document at the same time, I certify that this is a true copy and the photograph bears a true likeness of [enter name]."*

- All other documents:

*"Having seen the original and photocopy document at the same time, I certify that this is a true copy."*

**In addition, the following details should be included in every instance so that the certifier may be contacted in the event of a query:**

- Date
- First name(s) and surname
- Signature
- Company name
- Position
- Registration number (if a member of a recognised professional body)
- Contact details: address, telephone number or an email address at which they can be contacted.

#### 5 Investment Selection

You may invest in one or more Fund(s). The minimum subscription for each Fund is detailed in the relevant Prospectus. The total investment for the 2022/23 tax year must not exceed **£20,000** or **£1,666 per month**.

If you are ready to choose your investments, enter them below.

Fund Name	Lump Sum (£)	Regular Savings (£)
1)		

2)		
3)		

<b>Total:</b>	<b>£</b>	<b>£</b>
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If you require **income to be paid out** to you, please tick here<sup>1</sup>: ☐

**To choose to invest in a fund at a later date, please select the cash option.**

Cash (to be held within a Stocks and Shares ISA account)<sup>2</sup> ☐

<sup>1</sup> Income will be paid into the applicant's bank account detailed in Section 3. For Accumulation units/shares, income will be automatically reinvested.

<sup>2</sup> For more information, please refer to our terms and conditions found on our website.

## 6 Transfer Instruction to Existing ISA Manager (please tick accordingly)

☐

Cash Transfer (1)

☐

Stock Transfer (2)

I hereby authorise you to transfer the ISA referred to in this section either by (1) liquidating the assets as detailed and transfer the proceeds with any additional cash held in my ISA to Slater Investments Limited or (2) transferring any stock held in my ISA to Slater Investments Limited, providing that the stock is already a Slater Fund and currently held with a different ISA provider. Any dividends, tax credits, sale proceeds or other monies should be forwarded as soon as possible. In addition, I authorise you to supply Slater Investments Limited with full details of my ISA and understand the transfer process will commence from receipt of this application unless stated otherwise. Please forward a full history of the ISA(s) along with the cheque made payable to 'Slater Investments Limited' at your earliest convenience to the address at the top of this form.

Manager Name:

Telephone Number:

Manager Address:

Account Number:

Postcode:

Approximate Value: £

Signature:

Date: DD / MM / YYYY

**NB - If you are transferring from more than one Plan/Account Manager, please request more Transfer Authority forms.**

## 7 Declaration

• I declare that I am 18 years of age or over. I am a resident in the United Kingdom (UK) 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 overseas) are treated as being performed in the UK, or I am married to or in a civil partnership with a person who performs such duties. I will inform Slater Investments Limited if I cease to be so resident or perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

• I confirm that I am not a US Person (either resident or citizen) and acknowledge that US Persons cannot hold shares/units in the fund(s).

• I apply to subscribe for a Stocks & Shares ISA for the tax year and amount stated in this document and for each subsequent year.

• I have not subscribed and will not subscribe to another Stocks & Shares ISA in the same tax year that I have subscribed to this Stocks & Shares ISA.

• I have not subscribed and will not subscribe more than the overall subscription limit in total Stocks & Shares ISA and a Cash ISA in the same tax year.

• All subscriptions made and to be made belong to me.

• I hereby authorise Slater Investments Limited:

(i) to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.

(ii) to make on my behalf any claims or relief from tax in respect of ISA investments.

• I acknowledge that I have read and understood the Slater Investments Limited ISA Terms & Conditions and accept that they form the basis of my agreement with Slater Investments Limited. To the best of my knowledge and belief, all statements made in this application form are true and correct and I shall inform Slater Investments Limited immediately of any change in my circumstances affecting any of the information in this form.

• I have read and understood the relevant Key Investor Information Document (KIID) and Supplementary Information Document (SID). I understand that these documents form part of the terms and conditions of my investment in the Slater Funds.

• I confirm that I have read the declaration carefully.

Slater Investments Limited takes your data privacy very seriously. Under data protection legislation, we are classified as a data controller. This means that we are subject to certain obligations relating to how we process personal data. These obligations include, without limitation, providing individuals with certain information regarding how we process their data.

We will use the personal data you have provided in this Application Form, including your name, age, contact details, bank account details, transactions and the invested amount in accordance with all applicable data protection laws and our Privacy Policy, which is available at [www.slaterinvestments.com](http://www.slaterinvestments.com) (or otherwise available upon request).

Our Privacy Policy sets out, amongst other things, the purpose or purposes for which your personal data is collected and intended to be processed, and also contains any other information prescribed by data protection legislation.

Slater Investments Limited, as a data controller, will handle all your personal details in accordance with General Data Protection Regulations. From time to time we would like to send you information on other products, services and events which we offer and which we may think are of interest to you. If you would like to receive such information please tick this box: ☐

You may, at any time, object to the use of your personal details and withdraw your consent for the purposes of direct marketing at any time and free of charge by writing to us by letter and/or email at the address provided in the Privacy Policy.

Full Name:

Signature:

Date: DD / MM / YYYY

**This form will be returned if it is not signed and dated.**

## 8 Completed Form Checklist

To ensure that there will be as few issues as possible, if any, in processing your form, please make sure you have:

- Provided full registration details and client identification documents - **Sections 1 and 4**
- Stated your fund choice(s) and how much you wish to invest - **Section 5**
- Stated the transfer method - **Section 6**
- Signed and dated the declaration - **Section 7**
- Completed and signed the mandate for regular savers and/or income payments - **Section 9** (if applicable)
- Enclosed a cheque made payable to: Slater Investments Limited (if applicable)

Up to date Key Investor Information Documents, Prospectuses and Reports & Accounts for any Slater Fund can be requested by the investor at any time or obtained from the Slater Investments Limited website ([www.slaterinvestments.com](http://www.slaterinvestments.com)).

If you have any queries or need further assistance with the completion of this application form, please contact your Professional Adviser or contact **Lisa Letham** on **+44 (0) 207 2209365**

Your completed ISA Transfer Form, together with your cheque (if applicable) should be returned to your Professional Adviser or direct to: **JTC Fund & Corporate Services, HX1, 16th Floor, Harbour Exchange Square, London, E14 9GE**

## 9 Investment By Direct Debit

### Instruction to your Bank or Building Society to pay Direct Debit



Name and full postal address of your Bank or Building Society:

To the Manager Bank or Building Society

Address:

Postcode:

Service User: Slater Investments Limited, Nicholas House  
3 Laurence Pountney Hill, London, EC4R 0EU

Service User No.

1 6 8 5 5 2

Reference Number (to be completed by SIL):

Name(s) of Account Holder(s)

Account Number:

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Sort Code:

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**Instructions to your Bank or Building Society:**

Please pay Slater Investments Limited 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 Slater Investments Limited and, if so, details will be passed electronically to my Bank or Building Society.

Please note that some Banks and Building Societies may not accept Direct Debit instructions from some types of accounts.

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

Full Name:

Signature:

Date: DD / MM / YYYY



**10 Direct Debit Guarantee**

This guarantee should be detached and retained by the payer.



- This guarantee is offered by all Bank and Building societies that accept instructions to pay Direct Debits
- If there are any changes to the amount, date or frequency of your Direct Debit, Slater Investments Limited will notify you 10 working days in advance of your account being debited, or as otherwise agreed. If you request Slater Investments Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in payment of your Direct Debit by Slater Investments Limited or your Bank/Building Society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
  - If you receive a refund you are not entitled to, you must pay it back when Slater Investments Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your Bank or Building Society. Written confirmation may be required. Please also notify us.