

FundZone Mutual Funds - ISA Re-registration Application Form



FZMF33b 408

Consultant Code

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For Standard Life use only

Please note that not all ISA managers support re-registration.

When we say 'Standard Life' we mean 'Standard Life Savings Limited'.

If you need any help completing this form, please contact us on 0845 279 2002. (Call charges may vary)

| | | |
|---|--|---|
| Adviser Code <input type="text"/> Adviser to complete | Client Type New <input type="checkbox"/> Existing <input type="checkbox"/> | Existing account number (if applicable) S P <input type="text"/> |
|---|--|---|

Who this form is for

This form is for anyone who wishes to re-register a Stocks and Shares ISA from another ISA Manager to Standard Life Savings Limited.

Filling in this form

Before completing this form, please read the Key Features and Terms and Conditions (FZMF17) and the Fund Factsheet for your chosen fund or funds. An ISA may only be held in one individual's name. All sections must be completed; missing information will prevent us from accepting your application. If you are receiving advice from a financial adviser, you should remember that the financial adviser is acting on your behalf not only be giving you advice, but also regarding completing this form. **Please fill in this form in black ink and BLOCK CAPITALS. Don't use correction fluid if you make a mistake. If you need to fix a mistake, please initial any changes you make.** Put a cross in the relevant box when you're asked to make your choice. A copy of this completed application form is available on request.

Part 1 Tell us what you want to do

Please select the product(s) that you wish to Transfer by ticking the relevant box(es) below.

| | | |
|-----------------------|--------------------------|--------------------------|
| | Previous Years | Current Year |
| Stocks and Shares ISA | <input type="checkbox"/> | <input type="checkbox"/> |

If Current Year ISA selected, please provide details of current year subscription and date of first subscriptions below.

Current Year subscription £ Date of first subscription (DD/MM/YYYY)

Part 2 Client details

Title (Mr/Mrs/Miss/Ms/Other eg Dr/Rev) Surname

Male Female

First name(s) in full

National Insurance no. Date of birth (DD/MM/YYYY)

I do not have a National Insurance Number UK Resident? Yes No

Permanent UK residential address

Postcode

Telephone Home (include area dialling code)

Telephone Work (include area dialling code)

Mobile

E-mail address

Please provide your National Insurance Number.

This is a HM Revenue & Customs requirement and must be completed. If you do not have one please tick the box to declare this.

Please provide your permanent address, care of addresses are not acceptable.

IMPORTANT NOTE FOR ADVISERS – If you want your client to receive online access to FundZone, please provide your client's email address opposite.

The bank details entered here will be your nominated account. This must be your own personal account. Any income, Direct Debit or payments in and out of your investment will be made to/from this bank account.

Part 3 Bank details

Name and full postal address of your Bank or Building Society branch.

_____ Postcode _____

Name(s) of Account-holder(s) _____

Reference Number _____

Building Society Roll Number _____

Bank or Building Society Account No. _____

Branch Sort Code _____

You can find this in the top right hand corner of your cheque book

If you choose to receive an income, please ensure that you have completed Part 3.

Part 4 Income share classes - Important

If you have chosen to invest in an income share class we will automatically pay all the distribution income to your nominated account.

However, if your aim is capital growth and an accumulation share class is not available for your chosen fund(s), the distribution income can be automatically reinvested for you to buy extra shares.

Please tick this box to instruct us to reinvest your income to buy extra shares.

Please note that your contract note will still be for an income share class.

Any withdrawal payment out of your investment will be made to the nominated bank account you have given in Part 3 of the application.

If no bank details have been provided in this application, you will need to provide us with the details of your own personal nominated account prior to making any withdrawals.

The minimum regular withdrawal is £25. There must be a minimum of £500 within the ISA to allow regular withdrawals to be paid. At least £250 must remain invested in an ISA for it to remain open.

Part 5 Regular withdrawal facility

Complete this section if you want to make a regular withdrawal from your investment.

How often do you want the withdrawal paid? Monthly Quarterly Half-Yearly Yearly

Please note if you do not select a frequency, a default of 'Monthly' will be selected for you.

If you wish to withdraw a fixed amount for each payment, please indicate how much you want each payment to be. For example, if you want to withdraw £100 each month (£1,200 per year) tick the monthly box and write £100 in the payment box. £ _____

OR

If you wish to withdraw a percentage of the current value of your holding, indicate the annual percentage amount. For example, if you want to withdraw 6% per year paid at quarterly intervals, tick the quarterly box and write 6% in the percentage box. _____%

(DD/MM/YYYY)

Please indicate the date you would like payments to start from. _____

(Please select a start date from the 1st to 28th of the month).

Important - This date must be no sooner than 30 days after you made your investment.

Please ensure you have completed Part 3.

Part 6 Advice given and name of regulated firm

This section to be completed by the adviser.

If you have not given advice in respect of this investment, please tick here
 Otherwise we will assume that advice has been given.

Basis of Sale Whole of Market Other If other please specify

Please enter Name and Address of regulated firm. These are the financial advisers.

Adviser FSA or Authorisation Number
Name and address of regulated firm

 Postcode

We may need to contact you (the Business Writer) about this application, please provide your contact details below:

Name of Business Writer

Contact Number
E-mail address

This section to be completed by the adviser.

Part 7 Charges and Commission: For Re-registration

Please choose one of the two Renewal Commission options below.

Please select either i or ii.

i. **Full standard Renewal Commission**

OR

ii. **Nil Renewal Commission**

How often do you want Monthly Quarterly Half-Yearly Yearly
 Renewal Commission to be paid?

Please note that if you do not select a frequency, a frequency of 'Quarterly' will be selected for you."

All parties named on this form have a right to know that Standard Life holds personal data about them and what purposes it will be used for. Please give them an opportunity to read this notice.

Part 8 Data Protection

Data Protection Notice, important – please read

Personal information provided in connection with your application will be used by Standard Life Savings Limited to set up and administer the plan. Your personal data may be shared with other companies within the Standard Life group or their respective sub-contractors based in the UK, European Economic Area or elsewhere. In these circumstances we will require the party to comply with the same data protection requirements that would apply if the data was being held within the European Economic Area. If your application does not proceed it will be held on our records for 6 years before it is deleted. We will keep the information you have supplied confidential, and will not disclose it unless it is lawful to do so. If you have appointed a financial adviser, we will give them information about the plan and, where appropriate, send copies of correspondence to them to enable them to give you advice.

We and the other subsidiaries of Standard Life plc would like to contact you from time to time to keep you up to date with special offers, new products and services, newsletters and other promotions. We will never pass your details to companies that are not subsidiaries of Standard Life plc for marketing purposes.

If you do not want to be kept informed, please tick this box.

If you would like to request a copy of the personal data we hold about you, please write to the Data Protection Co-ordinator at our Registered Office. We may charge a fee for providing the information.

Part 9 Money Laundering

To comply with the Money Laundering Regulations 2007, we may verify your identity by carrying out an online check with a reference agency. Where an online check is carried out, the agency will verify your identity against public records and it will also check whether you have a credit history (but it will not disclose any information about your actual borrowings). The agency will add a note to show that an identity check was made to your credit file, but this information will not be available to any third parties. We regret that we cannot offer an alternative unless the online check does not confirm your identity, in which case we will carry out a manual check.

Part 10 Client Declaration and Important Information

I declare that:

- All subscriptions made, and to be made, belong to me;
- I am 18 years of age or over;
- 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 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
- 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 Standard Life Savings 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.
- I understand that Standard Life Savings Limited can accept no responsibility for any losses incurred as a result of a delay in the submission of this application; and
- I have read, understood and agree to the use of my personal data for the purposes described in the Data Protection Notice subject to me exercising my right not to be sent details of products or services of subsidiaries of Standard Life plc.

I authorise Standard Life Savings Limited:

- To hold my cash subscriptions, ISA investments, interests, 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; and
- On my written request 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 any cash.

I agree to the Key Features and Terms and Conditions and I confirm I have received the Fund Factsheet for my chosen fund or funds. I authorise you to carry out electronic identification checks if required. My financial advisers (as detailed at Part 6 of the application form) have my authority to notify you, on my behalf, of any switches in investment funds. My financial advisers also have my authority to notify you, on my behalf, of partial encashments of my investment, full encashment of my investment or to set up a regular withdrawal from my investment. The proceeds of these are to be paid into my nominated account. Any notification received from my financial advisers (whether via adviserzone, over the telephone or in writing) should be acted on as if it had been direct instruction from me. My financial advisers will continue to have this authority until I have notified you in writing that this authority has ended.

I declare that the information given is correct to the best of my knowledge and belief and that I will inform Standard Life Savings Limited of any change in the information given.

Check that you have completed ALL sections of the application form.

Sign that you agree to the declaration and important information.

Signature

Date (DD/MM/YYYY)

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Please ensure you sign here or we will have to return your application.

When this application form and Letter(s) of Authority have been fully completed and signed, please send it to the address below.
Standard Life, FundZone Customer Centre, Dundas House, 20 Brandon Street, Edinburgh, EH3 5PP

These boxes are for adviser/Standard Life official use only.

| ISA re-registration Letter of Authority | | | | | |
|---|---|--------------------|---|--|--|
| Adviser Code <div style="border: 1px solid black; padding: 2px; display: flex; align-items: center;"> <div style="border: 1px solid black; width: 100px; height: 20px; margin-right: 5px;"></div> Adviser to complete </div> | <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; padding: 2px;">Client Type</td> <td style="padding: 2px;">Existing account number (if applicable)</td> </tr> <tr> <td style="padding: 2px;"> New <input type="checkbox"/> Existing <input type="checkbox"/> </td> <td style="padding: 2px;"> <div style="border: 1px solid black; padding: 2px; display: flex; align-items: center;"> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin-right: 5px;">S</div> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin-right: 5px;">P</div> <div style="border: 1px solid black; width: 100px; height: 20px;"></div> </div> </td> </tr> </table> | Client Type | Existing account number (if applicable) | New <input type="checkbox"/> Existing <input type="checkbox"/> | <div style="border: 1px solid black; padding: 2px; display: flex; align-items: center;"> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin-right: 5px;">S</div> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin-right: 5px;">P</div> <div style="border: 1px solid black; width: 100px; height: 20px;"></div> </div> |
| Client Type | Existing account number (if applicable) | | | | |
| New <input type="checkbox"/> Existing <input type="checkbox"/> | <div style="border: 1px solid black; padding: 2px; display: flex; align-items: center;"> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin-right: 5px;">S</div> <div style="border: 1px solid black; width: 20px; height: 20px; display: flex; align-items: center; justify-content: center; margin-right: 5px;">P</div> <div style="border: 1px solid black; width: 100px; height: 20px;"></div> </div> | | | | |

Please complete and sign a Letter of Authority for each fund manager that you are re-registering from. You can photocopy as many copies as you need.

| Important information |
|---|
| <p>Please complete in BLOCK CAPITALS using BLACK INK</p> <p>Any applications that have not been completed correctly may incur a delay or have to be returned to you.</p> <p>If you (the adviser/client) wish to re-register from more than one ISA Manager please use a separate Letter of Authority.</p> <p>We can only accept documents with original signatures. Documents with faxed or photocopied signatures cannot be accepted.</p> <p>If you are receiving advice from a financial adviser, you should remember that the financial adviser is acting on your behalf not only be giving you advice, but also regarding completing this form.</p> <p>This letter of Authority MUST be submitted along with a fully completed ISA Re-registration Application Form</p> |

| Part 1 Letter of Authority and details of ISA to be re-registered |
|---|
| <p>By completing this form and signing below, I hereby instruct the ISA Manager named below (The "Existing ISA Manager") within 30 days of receipt of these instructions or a soon as reasonably practicable to,</p> <ul style="list-style-type: none"> – Transfer my ISAs, as specified below, to Standard Life Savings Limited – Effect the re-registration (or in-specie transfer) of my current holdings where specified below into the name of First NZ Wrap (UK) Nominees Ltd a/c Standard Life/Exempt, 20-22 Bedford Row, London, WC1R 4JS – Provide any information that Standard Life Savings may require, on my behalf including, but not limited to, details of the current plan(s) and value(s), and transaction and dividend histories. <p>I also instruct the ISA Manager named below to cease collections of my monthly savings plan with immediate effect.</p> <p>Important</p> <p>If you (the plan manager) are unable to support re-registration then please contact the Fundzone Customer Centre on 0845 279 2002 (call charges may vary).</p> <p>Client Name</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <p>Client Address</p> <div style="border: 1px solid black; padding: 2px; display: flex; align-items: flex-start;"> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> </div> <p style="text-align: right; margin-right: 20px;">Postcode</p> <div style="border: 1px solid black; width: 100px; height: 20px; margin-left: auto;"></div> <p>Account Number (with current investment manager) – this information is essential as we are unable to transfer your investment without it.</p> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> <p>INFORMATION FOR CURRENT INVESTMENT MANAGER</p> <p>If you do not support re-registration, please telephone Standard Life on 0845 279 2002 (call charges may vary) before taking any action.</p> <p>Current Manager Name</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <p>Current Manager Address</p> <div style="border: 1px solid black; padding: 2px; display: flex; align-items: flex-start;"> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 2px;"></div> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> </div> <p style="text-align: right; margin-right: 20px;">Postcode</p> <div style="border: 1px solid black; width: 100px; height: 20px; margin-left: auto;"></div> <p>Telephone (include area dialling code)</p> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> |

