

# Legal & General Capital Protected Index Plan 1 Direct Share Application Form

**FOR OFFICE USE ONLY**

RECEIPT NUMBER	CLIENT NUMBER	BC	Agent stamp/number
DEAL REFERENCE	AGENCY NUMBER	LAUNCH CASH FUND	

**NOTES FOR ADVISERS – VERIFICATION OF IDENTITY**

The verification of identity declaration can only be used if you have fully verified the customer(s). You cannot use the declaration if the customer falls into one of the following categories:

- Those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification.
- Those who have been subject to Simplified Due Diligence under the Money Laundering Regulations; or
- Those whose identity has been verified using the source of funds as evidence.

For verification of third party donors, please use the Confirmation of Verification of Identity certificate on our Adviser Centre.

**Before completing this application form, please ensure you have read and understood the Capital Protected Index Plan 1 brochure and Terms and Conditions carefully. The Terms and Conditions form the basis of our agreement with you. If you do not understand any point, please ask for further information.**

**SECTION 1A. PERSONAL DETAILS. PLEASE COMPLETE IN BLOCK CAPITALS**

Title Mr  Mrs  Ms  Miss  Other  If Other, please tick: Male  Female

Surname  Full forename(s)

Permanent residential address   
  
 Postcode

Email address  Daytime telephone number (  )

If you have lived at this address for less than three months, please provide your previous address details here:

Previous address   
  
 Postcode

Date of birth    1 9

Do you have a National Insurance number? Yes  No  If Yes, please enter it here

Do you have an existing investment with Legal & General? Yes  No

If Yes, please provide your client number

**Please tick if applicable:**

Legal & General employee  Legal & General shareholder

Relative of Legal & General employee/shareholder  If you have ticked this box, please write the name of the Legal & General employee/shareholder

Please complete if you wish to add a personal reference to your investment.

Account Holding Designation



## SECTION 5. DECLARATION

- I declare that I am applying for these shares on my own behalf and that I am entitled to the shares in respect of which this declaration is made and that I am not currently resident or ordinarily resident in the Republic of Ireland and should I become resident in the Republic of Ireland I will inform you, in writing, accordingly.
- I declare that I am not a 'US person' as defined under the US Securities Act 1933 and I will inform Legal & General, if I become such a US person.
- I declare that I am 18 years of age or over.
- The information given in this application form is true and correct to the best of my knowledge and belief, and I will inform Legal & General without delay of any change in my circumstances affecting any of the information in this form.
- I authorise Legal & General to hold my cash subscription, share investments, interest, dividends and any other rights or proceeds in respect of those investments, and any other cash.

Please note: Details about residence and being ordinarily resident are available from your tax office or on HM Revenue & Customs' website.

### Important please read: Data Protection

#### Use of your information:

Legal & General takes your privacy very seriously. We use the personal information collected via this form and any other information that you provide to us ('your information') for the purposes of:

1. providing you with our products and services and dealing with your enquiries and requests;
2. administering your investment;
3. carrying out market research, statistical analysis and customer profiling; and
4. sending you marketing information (by post, telephone, email and SMS) about products and services of companies in the Legal & General group and of third parties whose products and services Legal & General offers to its customers.

By signing below, you agree to receive the information as described in 4 above, unless you tell us otherwise by ticking this box .

Given the global nature of our business, we may need to transfer your information to countries outside the European Economic Area in order to provide our services to you.

#### Disclosures:

We will disclose your information to other companies within the Legal & General group of companies, regulatory bodies, law enforcement agencies, future owners of our business and suppliers we engage to process data on our behalf.

If you have been dealing with a financial adviser, we will give them information about your product and, where appropriate, provide them with other information about your dealings with us to enable them to give you informed advice.

Where you have been introduced to us by a bank or a building society, we will share your information with them to enable them to:

- (a) carry out market research, statistical analysis and customer profiling; and
- (b) send you marketing information about their products and services and products and services of companies in the Legal & General group and of third parties whose products and services Legal & General offers to its customers.

By signing below, you agree to receive the information as described in (b) above by post or telephone, unless you tell us otherwise by writing to Legal & General Retail Investments, Customer Services, PO Box 1004, Cardiff CF24 0YS.

#### Access:

You have the right to ask for a copy of your information in return for payment of a small fee. To obtain a copy of your information, please write to us at the above address.

I agree to the use of my/our information as set out above.

I understand that a copy of the completed application is available on request.

I have read the Capital Protected Index Plan 1 brochure, Terms and Conditions and declaration carefully.

I agree that the Terms and Conditions form the basis of my agreement with Legal & General.

#### First Applicant

Signature

Date | | | | 2 | 0 | | |

#### Second Applicant (if applicable)

Signature

Date | | | | 2 | 0 | | |

**In the case of a joint application, all applicants must sign. All applicants must be at least 18 years of age.**

### FOR ADVISERS USE ONLY

To meet Financial Services Authority regulatory reporting requirements, we must now record whether advice was given to your client regarding the sale of this product. Please tick the relevant box. Was advice given? Yes  No

If no advice was given, in accordance with Financial Services Authority regulations, this application needs an appropriateness assessment. Please confirm whether you have determined that the client has the necessary knowledge and experience in order to understand the risks of the product. Yes  No

### VERIFICATION OF IDENTITY (This is not applicable to Legal & General appointed representatives or employees)

I confirm the personal details listed in SECTION 1 were obtained by me. I have seen evidence to verify the identity of all applicants that meets or exceeds the standards set out with JMLSG guidance. Details of any evidence exceeding the guidance are attached.

Name \_\_\_\_\_

Signature

Job title \_\_\_\_\_

Date | | | | 2 | 0 | | |

**Please send to your financial adviser or to:**

**Legal & General Retail Investments, Customer Services, PO Box 1004, Cardiff CF24 0YS**

Legal & General (Portfolio Management Services) Limited. Registered in England No. 2457525  
Registered office: One Coleman Street, London EC2R 5AA  
[www.legalandgeneral.com](http://www.legalandgeneral.com)

**Authorised and regulated by the Financial Services Authority**

Q23538 Print date: 06/09 Approval number: H102723 Expiry date: 5/4/10

