

# Application form

## ISAs and unit trusts

### ISA transfers

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Please ensure you have read the Terms and Conditions and Simplified Prospectus carefully before you make any investment decisions. If you don't understand any point please ask for further information. The Terms and Conditions form the basis of our agreement with you.

#### How to complete this form:

- You should complete all sections using black ink and BLOCK CAPITALS
- If you make a mistake, simply cross through and initial the change (please don't use correction fluid)

#### Where to sign:

##### ISA and unit trust new applications

- If you wish to pay by direct debit (where available), sign and date part 7
- Once completed, sign and date the general declaration in part 8

##### ISA transfer applications

- Once completed, sign and date the two declarations in part 8 (both the general and transfer declarations require a signature)

#### What next:

- Enclose your personal cheque, if required (new investments only)
- Return the completed form to your adviser or direct to us (our address is on the back page)

**If you're only applying for an ISA transfer, please don't send any money with this application**

**Legal & General**

**(Portfolio Management Services) Limited**



# Please read these notes and the Investment summary page(s) and fund specific information in the Simplified Prospectus before completing this form

## Personal details

You can invest in a Legal & General unit trust on an individual basis or with up to three others. Please enter your details in part 1 and the joint applicant's details in part 2 (you can use a separate application form if there's more than one joint applicant). We'll send all correspondence to the first applicant, unless you request otherwise. If you're investing jointly, we'll need all investors to sign for all future transactions, including changes to income payments.

For an ISA or ISA transfer, we must have your full name, date of birth, National Insurance number (if you have one) and permanent residential address including postcode. If we don't receive these within 30 days of your application, the ISA won't be valid. You should be able to get your National Insurance number from your pay slip, P60, employer, tax office or the front of your pension book. Please note that an ISA can't be in joint names so only the first applicant can use this form to apply for an ISA or ISA transfer.

## ISAs (where available)

You can invest up to your ISA limit in a stocks and shares ISA with one provider, or you can split this amount between a stocks and shares ISA and a cash ISA with the same or different providers. Please ensure your contributions don't exceed the annual limits. This application is only for a stocks and shares ISA. If you're unsure about the ISA limits, please refer to the Simplified Prospectus.

See the Investment summary page(s) in the Simplified Prospectus for whether your chosen trust/fund is available as an ISA.

## Autoswitch (where ISA is available)

If you select autoswitch, you apply to sell enough units in your unit trust at the start of each tax year to invest the maximum allowed in a stocks and shares ISA. The ISA will be in the name of the first applicant only.

You can switch your full ISA allowance, or if you wish to use your cash ISA allowance elsewhere, you can switch the remainder. We'll write to you before the switch takes place to confirm the amount to be switched.

## ISA transfer details

If you have an ISA with another manager, you can transfer this to a Legal & General ISA. The ISA will be in the name of the first applicant only.

If your accounts are with different account managers, you'll need to complete a separate form for each.

This form acts as authorisation to your existing ISA manager to transfer your investment to Legal & General (Portfolio Management Services) Limited.

ISA transfer isn't available into some trusts/funds. See the Investment summary page(s) in the Simplified Prospectus to check if you can transfer into your chosen trust/fund and any limits that might apply.

### Please remember:

- If you wish to transfer an ISA taken out in this tax year, you must transfer the entire ISA.
- If you're transferring part of your previous tax year ISA(s) you need to give the estimated transfer value in part 4.2.
- We'll invest any ISA you transfer to us in a stocks and shares ISA.
- If you're only applying for an ISA transfer, please don't send any money with this application.

## Your investment - options

Minimum investment levels vary for different trusts/funds.

Where available you can choose to take an income, or you can leave your investment for growth. You need to select the appropriate option in part 3.1 and/or part 4.3. You can't take an income for

monthly savings (where available). We'll automatically allocate monthly savings for growth.

The phased investment option (minimum £3,000) is only available for lump sum investments into certain index-tracking trusts held within an ISA. See the Investment summary page(s) in the Simplified Prospectus for details of availability.

For new unit trust or ISA investments you must write the amount you wish to invest in each of your chosen trust(s)/fund(s) in part 3.1.

For ISA transfer applications (where available), you must write the percentage you wish to invest in each trust/fund in the appropriate box in part 4.3.

See the Investment summary page(s) and fund specific information in the Simplified Prospectus for:

- full trust/fund names;
- minimum investment levels;
- availability of income option;
- availability of monthly savings option;
- availability of phased investment option;
- details of other investment options.

## Unit classes

Where available, unit classes provide flexibility in the way we make trusts/funds available for different types of investor. In all cases, the underlying investment is the same.

You must write the unit class for your chosen investment(s) in the relevant box in part 3.1 and/or part 4.3, otherwise we'll have to contact you to confirm the unit class before we can place the deal.

See the Investment summary page(s) in the Simplified Prospectus for the unit class that applies to each trust/fund.

## Your bank/building society account details

You need to provide the details of your bank/building society account so we can make any payments by BACS. This is a quick and secure method of transferring money. We may use these details to pay you the proceeds of any future withdrawals.

If you've chosen to take income but we don't receive these details, we'll allocate your investment for growth.

The account must be held, or jointly held, by the named applicant(s). We can't make payments to a third party.

If any of these details change in future, you'll need to write and tell us.

## Paying for your investment (new investments only)

### Lump sum

You can pay lump sums either by debit card or by cheque. We don't accept credit card payments or payments by Solo or Electron.

You should only use debit cards if you have enough cleared funds in your account to cover the investment amount.

Please make cheques payable to Legal & General for the total amount. Cheques should be drawn on your personal account. For building society cheques/banker's drafts, please ask the building society/bank to print your name on the cheque as the account holder.

### Monthly savings/direct debit instruction (where available)

If you're making monthly contributions, please complete the Direct Debit Instruction and indicate on which date you'd like us to collect your direct debit each month. When this date doesn't fall on a working day, we'll collect your direct debit on the following working day. If you don't choose a preferred date, or you don't have an existing direct debit set up with Legal & General, we'll collect your direct debit on the 5th of each month.

### 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 subjected to simplified due diligence under the money laundering regulations.
- 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.

For office use only			Agent stamp/number
Receipt number	Client number	Deal reference	
For adviser use only			
<b>Basis of advice declaration</b>			
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 <input type="checkbox"/> No <input type="checkbox"/>			
<b>Verification of identity (This is not applicable to Legal &amp; General appointed representatives or employees)</b>			
I confirm the personal details provided were obtained by me. I have seen evidence to verify the identity of all applicants that meets or exceeds the standards set out within JMLSG guidance. Details of any evidence exceeding the guidance are attached.			
Name		Signed	
Job title		Date	

### 1. Personal details – first applicant

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

Forename(s) (in full, not just initials) \_\_\_\_\_

Surname \_\_\_\_\_

Address (permanent, residential address - we cannot accept c/o details) \_\_\_\_\_

Postcode \_\_\_\_\_ Contact telephone number ( \_\_\_\_\_ ) \_\_\_\_\_

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

Address \_\_\_\_\_

Postcode \_\_\_\_\_

Date of birth DD / MM / 19YY \_\_\_\_\_ Email address \_\_\_\_\_

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

If Yes, please provide your client number \_\_\_\_\_

Do you have a National Insurance number? Yes  No

If Yes, please provide your National Insurance number

Please tick if applicable Legal & General employee  Legal & General shareholder

Relative\* of Legal & General employee/shareholder

If you ticked this box please write their name below  
(\*applies to immediate family only: Parent(s), children, brother(s), sister(s), spouse or partner)

Name of employee/shareholder \_\_\_\_\_

### 2. Personal details – joint applicant (unit trust investments only)

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

Forename(s) (in full, not just initials) \_\_\_\_\_

Surname \_\_\_\_\_

Address (permanent, residential address - we cannot accept c/o details) \_\_\_\_\_

Postcode \_\_\_\_\_ Contact telephone number ( \_\_\_\_\_ ) \_\_\_\_\_

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

Address \_\_\_\_\_

Postcode \_\_\_\_\_

Date of birth DD / MM / 19YY \_\_\_\_\_ Email address \_\_\_\_\_

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

If Yes, please provide your client number \_\_\_\_\_

Do you have a National Insurance number? Yes  No

If Yes, please provide your National Insurance number







## 8. Declarations and authority

### General declaration

**For all new ISA subscriptions (and any unit trust first applicant selecting the autoswitch facility) only I declare that:**

- I apply to subscribe for a Legal & General stocks and shares ISA for the tax year 2009/2010 (2010/2011 for autoswitch) and each subsequent tax year unless I instruct you otherwise.

**For current tax year ISA transfer applicants only I declare that:**

- I wish to transfer my existing ISA and subscribe to this stocks and shares ISA for the tax year 2009/2010 and each subsequent tax year until further notice.

**For all new ISA subscriptions and current tax year ISA transfer applicants (and any unit trust first applicant selecting the autoswitch facility)**

**I declare that:**

- all subscriptions made, and to be made, belong to me;
- I have not subscribed, and will not subscribe, more than the overall subscription limit 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 the 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 registered civil partnership with, a person who performs such duties. I will inform Legal & General if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a registered civil partnership with, a person who performs such duties.

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

**For all ISA and ISA transfer applicants I authorise Legal & General:**

- to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash;
- to make on my behalf any claims for tax relief in respect of ISA investments.

**For all unit trust applicants I declare that:**

- I am not a resident of the US.

**For all applicants I declare that:**

- I am 18 years of age or over;
- the information given in this application is true and correct to the best of my knowledge and belief and I will inform Legal & General (Portfolio Management Services) Limited without delay of any change in my circumstances affecting any of the information in this form.

### 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 information as set out above.

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

I have read the Terms and Conditions, the Simplified Prospectus and the declaration carefully.

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

### Applicant or legal guardian signature(s)

First applicant ..... Date .....

Joint applicant (unit trust investments only) ..... Date .....

**If you are transferring existing ISA(s) you must also read, sign and date the transfer declaration.**

### Transfer declaration

#### Instruction to existing manager(s)

I authorise the manager of my existing ISA(s) to:

1. Sell my 2009/2010 ISA assets as detailed, not being less than £500. **and/or**
2. Sell my previous tax year(s) ISA(s) assets as detailed.
3. Transfer the cash realised to the new account manager, Legal & General (Portfolio Management Services) Limited, Retail Investments, Customer Services, PO Box 1004, Cardiff CF24 0YS. HM Revenue & Customs Ref Z1160.
4. Provide Legal & General (Portfolio Management Services) Limited with any information, written or non-written, concerning the ISA and to accept any instructions from them relating to the ISA being transferred.

Note: By signing this declaration you are consenting that a copy of this form will be provided to your existing ISA manager in order to demonstrate that we have your consent to the transfer.

Signature ..... Date .....

Forename(s) (in full, not just initials) .....

Surname .....



Please send your completed application to your financial adviser, or to:  
**Legal & General Retail Investments, Customer Services, PO Box 1004, Cardiff CF24 0YS**

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