

## Application form for Direct investment and/or Stocks & Shares ISA investment

This application form is for investment into the following Walker Crips plan:

- UK Kick-out Plan (90% version) Issue 2

**The closing date for applications is Friday 17 March 2017.**

This application form can be used for new investment and to invest proceeds from a matured plan held with Walker Crips.

### Funding the investment

- I have attached a cheque made payable to 'Walker Crips Stockbrokers Limited'
- I am making a bank transfer to the following bank details
- |                |   |
|----------------|---|
| Account Name   | Walker Crips Stockbrokers Limited                                       |
| Bank           | HSBC Bank PLC   |
| Sort code      | 40-05-30  |
| Account Number | 40025232  |
| Reference      | Please quote your surname and/or Walker Crips account number (if known) |
- I am using proceeds from a matured plan held with Walker Crips

### Application sections

**Please ensure all of the following sections are fully completed**

- 1 Personal details
- 2 Bank details
- 3 Investment selection
- 4 Investment details
- 5 Financial advice and adviser charging
- 6 Applicant declaration
- 7 Financial intermediary declaration

### Contact

**For any queries please contact:**

Website [www.wcgplc.co.uk/wcsi](http://www.wcgplc.co.uk/wcsi)  
Email [wcsi@wcgplc.co.uk](mailto:wcsi@wcgplc.co.uk)  
Telephone 020 3100 8880  
Fax 020 3100 8822

**Address for all correspondence:**

Walker Crips Structured Investments  
Finsbury Tower  
103–105 Bunhill Row  
London  
EC1Y 8LZ

## 1. Personal details

If you are already a client of Walker Crips or have previously invested in a Walker Crips Structured Investments Plan please provide your account number:

### First applicant

Title (Mr/Mrs/Miss/Other)	Surname				
Full forenames					
Permanent residential address					
Post code					
Date of birth	Telephone				
Nationality	Email address				
Country of birth	Yes No Are you a US citizen? <input type="checkbox"/> <input type="checkbox"/> Are you resident for tax purposes in any other country than the UK? <input type="checkbox"/> <input type="checkbox"/> If you have answered yes to either of the above, please provide the country(ies) and Tax Identification Number(s): Country(ies) Tax Identification Number(s) <table border="1"><tr><td></td><td></td></tr><tr><td></td><td></td></tr></table>				
Place of birth					
Are you resident in the UK for tax purposes? <input type="checkbox"/> Yes <input type="checkbox"/> No					
National Insurance Number <input type="text"/> <input type="text"/> (You should be able to find your NI number on a payslip, Form P45 or P60, a letter from HMRC, a letter from the DWP or a pension order book.)					

### Joint applicant (for direct investments ONLY)

Title (Mr/Mrs/Miss/Other)	Surname				
Full forenames					
Nationality	Date of birth				
Country of birth	Yes No Are you a US citizen? <input type="checkbox"/> <input type="checkbox"/> Are you resident for tax purposes in any other country than the UK? <input type="checkbox"/> <input type="checkbox"/> If you have answered yes to either of the above, please provide the country(ies) and Tax Identification Number(s): Country(ies) Tax Identification Number(s) <table border="1"><tr><td></td><td></td></tr><tr><td></td><td></td></tr></table>				
Place of birth					
Are you resident in the UK for tax purposes? <input type="checkbox"/> Yes <input type="checkbox"/> No					
National Insurance Number <input type="text"/> <input type="text"/> (You should be able to find your NI number on a payslip, Form P45 or P60, a letter from HMRC, a letter from the DWP or a pension order book.)					

## 2. Bank details

Please provide the details of your bank/building society account that you would like any payments to be made into, either during the investment term or following maturity:

Bank/Building Society name	<input type="text"/>	Account name	<input type="text"/>
Sort code	<input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>	Account number	<input type="text"/>
Reference	<input type="text"/>		



## 6. Applicant declaration

### I/We hereby certify that:

I/We am/are 18 years of age or over. All subscriptions made, and to be made, belong to me/us.

I/We am/are 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/We am/are married to, or in a civil partnership with, a person who performs such duties. I/We will inform Walker Crips Stockbrokers Limited (WCSB) if I/We cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

I/We am/are not a resident, nor am/are I/we acting on behalf of a resident of the United States or a US Person(s), and I/we will not assist any such person to invest in this Plan. Further, I/we agree to inform you immediately should I/we become a resident of the United States or a US Person.

The information above is true and correct to the best of my/our knowledge and belief, and I/we agree to advise WCSB without delay of any change in my/our circumstances affecting any of the information on this declaration and authority.

I/We understand that this brochure and Terms & Conditions are the agreement under which my/our investment will be managed, and understand for my/our own protection that I/we should read them carefully before signing and ask for further information or seek advice about anything which is unclear to me/us.

### First applicant

Signature

Date

### If I have subscribed to an ISA I confirm that:

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

I understand that this ISA is subject to the terms and conditions within the brochure and agree thereto.

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

I authorise WCSB as ISA Plan Manager; to make on my behalf any claims to relief from tax in respect of ISA Investments; to hold, or on my written request, transfer or pay to me, as the case may be, my cash subscriptions, ISA Investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

### Adviser charges

By signing this application I/we can confirm that I/we am/are in agreement with the adviser charge being deducted as indicated in section 4 and paid to my/our financial intermediary.

My/Our intermediary has fully explained their charges to me/us and I/we understand that, should I/we exercise my/our cancellation rights after the adviser charge has been paid, WCSB will not return any adviser charges to me/us. I/We will need to contact my/our financial intermediary regarding any refund.

I/We understand that WCSB is simply facilitating adviser charges and any queries regarding these payments will need to be discussed with my/our financial intermediary.

### Joint applicant

Signature

Date

**Applications must be submitted via a financial intermediary (e.g. an FCA regulated financial adviser, investment manager or execution only broker).**

## 7. Financial intermediary declaration (THIS SECTION MUST BE COMPLETED IN FULL)

Where I have provided advice and made a personal recommendation to the investor, I confirm that I have assessed the suitability of this product in relation to the investor's individual circumstances and investment objectives in accordance with COBS 9.

Where the investor is making a non-advised investment, I confirm that I have assessed the appropriateness of this product in relation to the investor's investment knowledge and experience in accordance with COBS 10.

I declare that this application form has been completed to the best of my knowledge and belief and I have fully disclosed any adviser charge, if applicable, to the investor(s). I understand that any adviser charge being facilitated will be paid after the start date of the Plan subject to a fully completed Terms of Business agreement being in place.

I confirm that the details listed in Section 1 have been obtained by me. I have retained a completed Identity Verification Certificate (IDVC) and documentary evidence for all parties relevant to this application that meets or exceeds the standards set out in the JMLSG guidance. I have seen all original documents and those requiring a signature have been signed. I acknowledge that Walker Crips will rely upon this confirmation for the purposes of Regulation 17 of The Money Laundering Regulations 2007 and that the IDVC and relevant supporting documents will be provided on request.

Company name	Financial intermediary signature
Adviser name	
Address or adviser company stamp	
Post code	Contact number
	FCA number

Finsbury Tower, 103-105 Bunhill Row, London EC1Y 8LZ  
020 3100 8880 | [wcsi@wccplc.co.uk](mailto:wcsi@wccplc.co.uk) | [www.wccplc.co.uk/wcsi](http://www.wccplc.co.uk/wcsi)

Walker Crips Structured Investments is a trading name of Walker Crips Stockbrokers Limited which is a member of the London Stock Exchange and is authorised and regulated by the Financial Conduct Authority. Member of the Walker Crips Group plc. Registered in England. Registration Number 4774117.