

Application for direct investment and or 2010/2011 Stocks and Shares ISA investment Dual Index Plan – Issue Three

For internal use only

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Return this form and a cheque made payable to **'Walker Crips Stockbrokers Limited'** to
Walker Crips Structured Investments, Finsbury Tower, 103-105 Bunhill Row, London EC1Y 8LZ.
The closing date for applications is by **5pm on Friday, 10th September 2010**

Are you already a client of Walker Crips or have you previously
invested in a Walker Crips Structured Investments Plan?

Yes No

If 'Yes', please provide your Account Number

Please complete this form using **BLOCK CAPITALS** and **black ink**.

1. Personal details

First applicant (ISA investments are only available for single applicants)

Title (Mr/Mrs/Miss/Other)	Surname
Full forenames	
Permanent residential address	
Postcode	
Date of birth DD MM YYYY	Nationality
Country of permanent residence	Email address
Telephone (day)	Telephone (evening)

Joint applicant (Joint applications are only available for direct investment)

Title (Mr/Mrs/Miss/Other)	Surname
Full forenames	
Date of birth DD MM YYYY	Nationality
Country of permanent residence	Email address
Telephone (day)	Telephone (evening)

2. Investment details

Direct investment I apply to subscribe the following amount as a direct investment in the Dual Index Plan - Issue Three

£ (minimum £5,000,
maximum £1,000,000)

ISA investment Have you previously taken out a PEP/ISA with Walker Crips Stockbrokers?

Y N

I apply to subscribe the following amount to an ISA investment (comprising stocks and shares) for the tax year 2010/2011, I understand that I cannot invest in another Stocks & Shares ISA in this tax year.

£ (minimum £5,000
maximum £10,200)

National Insurance (NI) Number (Only required for ISA investments)

You should be able to find your NI number on a payslip, Form P45 or P60, a letter from HMRC, a letter from the DSS, or pension order book.

Please make cheques payable to **'Walker Crips Stockbrokers Limited'**.

If you are attaching a building society cheque, please request that your building society references your name on the cheque.

 **Walker Crips**
Structured Investments

3. Have you received financial advice?

Walker Crips Structured Investments have not provided you with any advice in relation to this investment and recommend that all customers seek financial advice relating to the suitability of this product in relation to their circumstances and investment objectives.

Have you received financial advice in relation to this application?

Yes. Firm name

No. I haven't received financial advice.

Adviser name

If you have received advice, please proceed to Section 4. If you have not received financial advice, please complete the following section.

Have you ever held any of the following?

- i. A complex investment where the capital and returns are variable and based upon the performance of underlying securities, e.g. Equities, Indices, Commodities, Unit Trusts, Investment Trusts or Corporate Bonds. **Yes** **No**
- ii. A structured investment product such as the Dual Index Plan - Issue Three. **Yes** **No**

Do you understand the following statements?

- i. The Plan may run for six years and you must be prepared to invest for the full Investment Term. **Yes** **No**
- ii. Should you need to cash the Plan in early, you may get back less than your original amount invested. **Yes** **No**
- iii. You are prepared to accept some risk to your capital in return for higher potential returns. **Yes** **No**
- iv. You have a minimum of £5,000 to invest. **Yes** **No**
- v. You may lose some or all of your money. **Yes** **No**

Please refer to page 10 of the brochure, titled 'Important points and suitability' for guidance on whether this investment is appropriate for you. If you do not answer these additional questions, we will not be able to determine whether this investment is appropriate for you.

4. Declaration

1. I/we hereby certify that

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

I/we are 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 of 2003 (Crown Employees serving overseas), are treated as being performed in the United Kingdom, or I/we are married to, or in a civil partnership with, a person who performs such duties.

I/we are not a resident, nor am I/we acting on behalf of a resident of the United States, and that I/we will not assist any person who is so resident to invest in this Plan. Further, I/we agree to inform you immediately should I/we become a resident of the United States.

I/we will inform Walker Crips Stockbrokers Limited if I/we cease to be so resident and ordinarily reside or to perform such duties or to be married to, or in a civil partnership with, a person who performs such duties.

I hereby authorise Walker Crips Stockbrokers Ltd as ISA Manager, to hold my cash subscription, ISA Investments, interest, dividends and any other rights or proceeds in respect of these investments and any other cash.

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

I/we have read and understood the Dual Index Plan - Issue Three brochure, including the risks and Terms and Conditions and accept the Terms and Conditions and agree to the Terms and Conditions under which my/our Investments will be managed.

2. If I have subscribed to an ISA I confirm that

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

I authorise Walker Crips Stockbrokers Ltd as ISA/Plan Manager 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 authorise Walker Crips Stockbrokers Ltd to supply me with a Dual Index Plan - Issue Three statement twice each year.

Data protection

You authorise us to hold and process the information supplied on the application form as a data controller for the purposes of the Data Protection Act 1998. We may hold and process information for the administration of the service for which you are currently applying or may apply for in the future, for the operation of your investment and for marketing goods and services from any member of the Walker Crips Group. You authorise the transfer of your information to any member of the group for these purposes.

You authorise the disclosure of your information concerning your investment to an Independent Financial Adviser acting on your behalf.

You are entitled to request details of the information we hold upon payment of a fee and require us to correct any inaccuracies in that personal data.

First applicant

Signature

Date

Joint applicant

Signature

Date

Financial adviser details and money laundering statement (THIS SECTION MUST BE COMPLETED IN FULL)

- I/We confirm that I/we have completed the appropriate verification of identity checks and attach the **Identity Verification Certificate*** Certified copies of the underlying documentary evidence are **enclosed with this certificate.**
- or
- I/We confirm that I/we have completed the appropriate verification of identity checks and attach the **Identity Verification Certificate*** I/We have sighted the original documents and that any requiring a signature were presigned.

Please tick the appropriate box

* Identity Verification Certificates can be downloaded from www.wcgplc.co.uk/wcsi

Company name	IFA signature
IFA name	
Address or IFA company stamp Postcode	Contact number
	FSA number
	Commission sacrifice %

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