

Office Use Only				
Scan ref:	ISAAPP			
Internal ref:	AE		Code	

Title (Mr/Mrs/Miss/Other)	Surname
Full forenames	
Permanent residential address	
Postcode	
Date of birth D D M M Y Y Y Y	National Insurance No.
Telephone	Email address
WCIM account number	Executive who handles your account

I apply to subscribe to a Stocks & Shares ISA Investment for the tax year

☐ Yes

Name of bank or building society											
Bank address											
	Postcode										
Title of account											
Building society roll number (if applicable)											
Sort code				Account number							

E Declaration & authority

1. I hereby certify that

- a. I am 18 years of age or over. All subscriptions made, and to be made, belong to me;
- b. I have not subscribed, and will not subscribe, to more than the overall ISA subscription limit total in the same tax year; and
- c. I am 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 am married to, or in a civil partnership with, a person who performs such duties. I will inform Walker Crips Investment Management Limited if I cease to be so resident or to perform such duties or to be married to, or in a civil partnership with, a person who performs such duties.

2. Authority

- a. I hereby authorise Walker Crips Investment Management 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;
- b. To make on my behalf any claims to relief from tax in respect of ISA Investments; and
- c. 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.

Signature

Date

3. I declare

- a. That the information above is true and correct to the best of my knowledge and belief; and
- b. Agree to advise Walker Crips Investment Management Ltd without delay of any change in my circumstances affecting any of the information on this declaration and authority.
- 4. I understand that this ISA is subject to WCIM's Terms of Service and Business. I confirm that I have read, understood and accept WCIM's Terms of Service & Business (www.wcgplc.co.uk/businessTC) and consent to the Order Execution Policy incorporated therein, taking note in particular the policies relating to Off Market Venues and Limit Orders.
- 5. This ISA application form has been signed by you in accordance with the ISA regulations which require direct confirmation by the ISA subscriber that they wish to open an ISA.

Note:

- This Application Form and our Terms of Service and Business, which taken together, set out the basis of your relationship with WCIM. We intend to rely on these documents and for your own benefit and protection, you should read the terms carefully before signing this Form. If you do not understand any item therein, please ask for further details.
- The **Terms of Service and Business** can be found on www.wcgplc.co.uk/businessTC. If you require a printed copy of the Terms of Service and Business, please contact client.services@wcgplc.co.uk or 020 3100 8662.

For any questions please contact Walker Crips Investment Management on 020 3100 8662, by email at client.services@wcgplc.co.uk, or by mail to Walker Crips Investment Management, 128 Queen Victoria Street, London EC4V 4BJ.

For Office Use Only		
Reviewed by AE		Executive Notes
AE Name		

Walker Crips Investment Management

128 Queen Victoria Street, London EC4V 4BJ | 020 3100 8000 | client.services@wcgplc.co.uk | walkercrips.co.uk

Walker Crips Investment Management Limited is authorised and regulated by the Financial Conduct Authority and is a member of the London Stock Exchange. Registered in England and Wales number 4774117.

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Addendum - Appointment of BNY Pershing to provide custody services

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IMPORTANT INFORMATION:

This Addendum forms part of the Application Form

Advance Notice that Walker Crips Investment Management (Walker Crips) selects BNY Pershing to provide Custody Services

Following a review of the services we offer to our clients, we are pleased to provide advance notice that we are enhancing the custody arrangements through which your cash and assets are safeguarded and administered. This addendum describes the changes, explains why we are making them, and informs how they will affect you.

Selection of new Custody Provider

As part of the Walker Crips service, clients' cash and investments that are managed or administered by Walker Crips are held safely by approved banks and custodians. We currently hold custody of cash and investments directly through WB Nominees Limited (WBNL), a Walker Crips company, and hold client money in client money bank accounts with approved credit institutions or banks.

After conducting a strategic review, we concluded that our clients would benefit from having their cash and investments being safeguarded by an internationally recognised custodian, and that our clients and the firm can benefit from the stability, efficiency and scalability that it brings.

After a thorough due diligence process, we have selected Pershing Securities Limited (PSL) (known as BNY Pershing) to replace WBNL as the new custodian for our services. As custodian, PSL will also become the Individual Savings Account (ISA) and Junior ISA Plan Manager for Walker Crips accounts.

PSL's parent company, The Bank of New York Mellon Corporation (BNY), is one of the world's largest providers of custody services. BNY has been operating for over 230 years, and BNY Pershing has been operating for 80 years in the US and over 35 years in Europe, the Middle East and Africa. PSL's systems are robust, they have strong regulatory compliance expertise and they currently serve more than 50 wealth management companies in the UK and Ireland. By partnering with PSL, we are ensuring that your cash and investments are held safely by one of the world's most reputable custodians.

Transfer of client money

If you have any client money holdings on the transfer date relating to past or present activity on your account, we will transfer the relevant balances we hold to PSL. When your client money is transferred to PSL, it will be held by PSL for you as client money in a client money account and, upon such transfer, our fiduciary duty to protect your client money will be discharged.

The amounts transferred will be held by PSL under Financial Conduct Authority (FCA) client money rules and will continue to be protected and segregated as client money.

Shortly after the transfer date, we will send you a letter showing any client money balances we held for you that have been transferred to PSL.

PSL is also covered by the Financial Services Compensation Scheme (FSCS). Compensation may be available from the FSCS if PSL cannot meet its obligation to you. Your possible entitlement to compensation will depend upon the type of business and the circumstances of the claim. Further information about compensation arrangements is available from the FSCS, www.fscs.org.uk.

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How will the transfer affect me?

You will notice very little difference in the service you receive from us day to day whether PSL or Walker Crips is the custodian.

The service which we provide to you will continue to be provided by Walker Crips Investment Management and your Investment Manager/Account Executive will not change as a result of our appointment of PSL as custodian. This means you will still deal with the same Investment Manager/Account Executive and the level of service you receive will remain the same.

We will handle the transition to PSL and you can rest assured that custody of your assets will remain safe and secure.

ISA/JISA Accounts and PSL becoming the ISA/JISA Plan Manager

The ISA/JISA Plan Manager is the firm that is approved by HMRC to manage ISA/JISA accounts in accordance with the relevant ISA/JISA Regulations.

It is our intention to transfer the role of ISA/JISA Plan Manager (Plan Manager) to PSL. **The individual service which we provide to you will continue to be provided by Walker Crips Investment Management and your Investment Manager/Account Executive will not change as a result of our appointment of PSL as Plan Manager.**

On the transfer date, where you hold an ISA/JISA with us, we will transfer your ISA/JISA to PSL as part of our migration to PSL.

When will this transfer to PSL take place?

Our target transfer date is the weekend of **28 June 2025**.

Temporary dealing embargo period to help with the transfer to PSL

In order to enable a smooth transfer, please note that there will be a dealing embargo where we will not be able to buy, sell or transfer securities or cash. The embargo periods in relation to the transfer date of 28 June 2025 are:

- Securities and cash - 2 days before and 1 day after, i.e. **26 June to 30 June 2025** (inclusive).
- Funds - 5 days before and 1 day after, i.e. **23 June to 30 June 2025** (inclusive).
- Certificated securities - 10 days before and 1 day after, i.e. **16 June to 30 June 2025** (inclusive).

Changes to our Terms and Privacy Notice

As a result of the change in custodian, we have updated our Terms, which can be viewed at www.walkercrips.co.uk/businessetc. The most significant change relates to the introduction of PSL's role as custodian. As part of this change, you will now enter into a custody contract with PSL directly (which you authorise us to arrange on your behalf). To take these changes into account, we have deleted the previous "Appendix – Custody of Assets" of our current Terms which explained how we provide our custody and administration services. We have included PSL's Terms as Appendix 7 in our updated Terms, as effective from 28 June 2025.

We have also taken this opportunity to review and update our Terms. With the exception of the custody related changes, most other changes are stylistic and are intended to make the Terms clearer and easier to understand. However, we note:

- We have updated the wording explaining our investment services and how we provide them to you. This does not change what we do day to day but provides you with more information.
- We have explained that part of our services include arranging the custodian and that we have your permission to change the custodian from time to time.
- We have also updated our Privacy Notice, which can be viewed at www.walkercrips.co.uk/privacynotice. The main changes to this are to help set out how we use your personal data and your relevant rights.

We ask that you read these new Terms carefully. If you have any questions about the appointment of PSL as custodian, please contact your Investment Manager / Account Executive or you may wish to contact Client Services at client.services@wcgplc.co.uk.

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Declaration

This Application Form (including this Addendum) and our Terms of Service and Business, which taken together, set out the basis of your relationship with Walker Crips. We intend to rely on these documents and for your own benefit and protection, you should read these documents carefully before signing the Application Form. If you do not understand any item therein, please feel free to contact us for further details.

The Terms of Service and Business can be viewed at www.walkercrips.co.uk/businessstc. If you require a printed copy of the Terms of Service and Business, please contact client.services@wcgplc.co.uk or 020 3100 8000.

- I/we confirm that I/we have read and accept both of Walker Crips' **Current** (effective 06/01/2024) and **New** (effective 28/06/2025) Terms of Service and Business and Tariff Sheet and consent to the Order Execution Policy incorporated therein, including consent for any orders to be executed outside a regulated market or a multilateral trading facility and for any unexecuted limit orders not to be made public.
- I/we confirm that I/we understand and agree to the information in this Addendum and authorise Walker Crips to transfer my client money holdings and investments to Pershing Securities Limited (PSL) on the transfer date (which is expected to be 28 June 2025). I further agree for PSL to be my ISA Plan Manager.

Signature
(Applicant)

Print name

Date

Walker Crips Investment Management

128 Queen Victoria Street, London EC4V 4BJ | 020 3100 8000 | client.services@wcgplc.co.uk | walkercrips.co.uk

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