

Portfolio ISA

Application form

For the tax year ending 5 April 2021

This form should be used for Sanlam Private Wealth (SPW) Portfolio ISA only. The SPW Portfolio ISA is a Stocks and Shares ISA. If you open a SPW Portfolio ISA, you cannot pay into any other Stocks and Shares ISA in the same tax year. Your ISA will be managed in accordance with the investment objectives set out in the Client Agreement Form, or otherwise agreed with you in writing. Please also refer to Appendix 2 in your Sanlam Terms of Business for the Portfolio ISA provisions.

Important: You must provide your date of birth and National Insurance Number if you have one. We cannot accept your application without them. Your National Insurance Number can be found on your payslip, form P60, notice of coding or tax return, otherwise your employer or tax office may be able to help.

Section 1. Personal details (compulsory)

BLOCK CAPITALS PLEASE

Title (Mr/Mrs/Miss/Ms/other)

Surname

Forename(s) (in full)

Permanent residential address

Postcode

Telephone

Date of birth

Email address

Please tick if you are employed by an investment firm:

Are you an existing SPW customer?

Yes

No

If yes, please give your Customer Ref no

Do you have a National Insurance number?

Yes

No

If yes, you must enter it here

Section 2. Subscription details

Please complete and tick each section as applicable

Section 2a. Existing ISAs

Please complete this section if you wish to transfer your existing ISAs to SPW.

I wish to transfer my existing ISA(s) into a SPW Portfolio ISA and I enclose the completed ISA Transfer Authority(ies).

Section 2b. New ISA subscriptions

Please complete this section if you wish to make a new ISA subscription for the current tax year ending 5 April 2021.

either I enclose a cheque* for made payable to: Sanlam Private Investments (UK) Ltd Client ISA A/C

or I authorise SPW to transfer or the maximum allowance from my portfolio.

*In view of our obligations under the Money Laundering regulations, please:

- a) use cheques drawn on personal accounts where possible and ensure consistency between the name on the application and the drawer’s name on the cheque; or
- b) if using a cheque drawn on a building society account, arrange for the building society to certify the account holder’s name on the cheque, and ensure that it is consistent with the name on the application form.

Section 2c. Future years’ ISA

Complete this section if you wish SPW to transfer cash **automatically** from your portfolio into your ISA in future tax years.

I authorise SPW to transfer the maximum ISA subscription limit* from my portfolio automatically into my ISA in 2020/21 and each subsequent tax year until further notice.

* If you wish to transfer less than the overall ISA limit each year, please specify the amount

ALL INVESTORS: Please remember to sign the declaration overleaf.

Section 3. Income payments

Please indicate whether you wish the income from your portfolio to be:

Reinvested	}	_____	
Paid out monthly			
Paid out quarterly			Fixed sum
Paid out six-monthly			Actual

Please provide details of the account into which payments should be made (if applicable):

Bank or B/Society	Account holder
Address	Account number
	Sort code
Postcode	B/Society ref

Section 4. Data protection

In the course of providing our products and services we will receive information from and about you. SPW is regarded as a data controller within the meaning of the applicable data protection laws including, but not limited to, the General Data Protection Regulation (Regulation EU 2016/679) which means we are responsible for deciding how we hold and use your personal data. We summarise the key aspects of our privacy statement below however please see our Sanlam Privacy Statement which is available from us, your Adviser (if applicable), your usual Sanlam contact and via our website www.sanlam.co.uk.

If you would like a written copy please write to Data Protection, Sanlam, One Temple Quay, 1 Temple Back East, Bristol, BS1 6DZ, or you can also contact us by email at clientservices@sanlam.co.uk, or by telephone on 0117 975 2222, Monday to Friday between 9am to 5pm (excluding Bank Holidays).

It is important that you understand how we use your personal data before you decide to contract with us.

The Sanlam Privacy Statement explains how we will use your personal data, which will usually be:

- to perform the contract we have entered into with you;
- to comply with a legal obligation;
- where it is necessary for our legitimate interests (or those of a third party) and your interests and fundamental rights do not override those interests;
- where we have obtained your explicit written consent to do so.

The Sanlam Privacy Statement also explains:

- the kind of personal data we may hold about you, including sensitive (or 'special') personal data such as health information, if applicable;
- how we may collect your personal data, including where we may receive it from third parties;
- when and why might we share your personal data with third parties including third party service providers, other Sanlam group companies and regulatory authorities;
- the conditions under which we transfer personal data outside the EEA to ensure the ongoing security of your personal data;
- how long we will retain your information for, or the criteria we apply to determine any retention periods; and
- your rights in connection with personal data, including your right to complain.

Confirmation: By entering into this arrangement with us, you acknowledge you have received and read the Sanlam Privacy Statement.

Marketing Consent

We take your privacy seriously and will only use your personal information to administer your account and to provide the products and services you have requested from us.

However, from time to time we would like to send you market updates and investment news by post and/or email. If you consent to us contacting you for this purpose please confirm below how you would like us to contact you.

Post Email Both

Please tick below if you would also like to receive our bi-annual client magazine "Wealthsmiths". Wealthsmiths includes market commentary, articles on current investment trends and topics we think you may find useful.

"Wealthsmiths" Magazine (by post only)

If you have consented to receive marketing updates and investment news above, please also let us know if you would like to receive similar communications from other Sanlam group companies, as listed in Section 16 of the Sanlam Privacy Statement:

You may withdraw your consent at any time by contacting clientservices@sanlam.co.uk

If you need further information, please write to us at Client Services, One Temple Quay, 1 Temple Back East, Bristol, BS1 6DZ.

Telephone calls may be recorded and monitored for quality control and regulatory purposes

Section 5. Declaration and authorisation

This section must be completed by all applicants

Please read this section carefully before signing and dating the Declaration and ensure that the total amount that you wish to invest in ISAs (including any Cash ISA) over the whole tax year does not exceed the overall ISA limit.

I apply to subscribe for a Stocks and Shares ISA for the tax year 2020/21 and each subsequent year until further notice.

I declare that:

all subscriptions made, and to be made, belong to me;

I am 18 years of age or over;

I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA, a stocks and shares ISA, an innovative finance ISA, and a lifetime 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 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 civil partnership with, a person who performs such duties. I will inform SPW if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

I authorise SPW to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash and to make on my behalf any claims to relief from tax in respect of ISA investments.

The completed information on this application form is correct to the best of my knowledge and belief. I agree to be bound by the Terms of Business for Portfolio Management Services, the Additional Terms for the SPW Portfolio ISA and Client Agreement Form and to inform you immediately of changes in my circumstances. I understand that this application is subject to acceptance by the ISA Manager.

I declare that this application form has been completed to the best of my knowledge and belief.

Date

FOR OFFICE USE ONLY		
	Initial	Date
Entered		
Checked		

Transfer Authority

Please return this form to us with your Application Form. SPW will arrange the transfer of your ISA(s) directly with your existing ISA manager(s).

Please note that a SPW ISA is a Stocks and Shares ISA. If you transfer a Cash ISA to SPW, the funds will be invested in Stocks and Shares. Current tax year ISA subscriptions can only be transferred in whole; previous years' ISAs can be transferred in whole or in part. If you wish to make a partial transfer, please contact us.

Please complete and sign a separate section below for each ISA you wish to transfer.

ISA transfer authority

Existing ISA manager's name

ISA manager's address

Postcode

ISA ref number

a) If you wish to transfer the whole plan tick here

Yes

No

b) If you wish to transfer part of the plan please confirm the amount

£

I hereby authorise you to transfer my ISA investments to SPW, in the format which SPW shall specify, and to provide them with any information they may require from time to time.

Planholder's name

House number

Postcode

Signature

Date

ISA transfer authority

Existing ISA manager's name

ISA manager's address

Postcode

ISA ref number

a) If you wish to transfer the whole plan tick here

Yes

No

b) If you wish to transfer part of the plan please confirm the amount

£

I hereby authorise you to transfer my ISA investments to SPW, in the format which SPW shall specify, and to provide them with any information they may require from time to time.

Planholder's name

House number

Postcode

Signature

Date

Enquiry Freephone 0800 269253

Please return this form to your financial adviser, if you have one, or directly to Sanlam Private Wealth.

Sanlam Private Wealth and Sanlam Wealth are trading names of Sanlam Private Investments (UK) Ltd which is authorised and regulated by the Financial Conduct Authority.
Registered in England and Wales 2041819. Registered office: Monument Place, 24 Monument Street, London EC3R 8AJ.

enq@sanlam.co.uk

sanlam.co.uk