

# Protected Emerging Europe Plan

Please complete in **BLOCK LETTERS** and in **black ink**, and return to your Financial Adviser or to Keydata Investment Services limited, Floor 8, Fountain House, 2 Queens Walk, Reading RG1 7QF. Telephone: 0844 391 3429 Fax: 0844 391 3422.  
Should you require further copies of the mandates you may photocopy this form.

## 1. I wish to Transfer a...

Please indicate which option(s):  Cash ISA  
 Stocks and Shares ISA

## 2. Personal Details

Title (Mr/Mrs/Ms/Other)

Surname

First name(s) in full

Date of birth

Permanent residential address

Postcode

Telephone

E-mail address

Please tick the appropriate box if you hold or have held one or more of the following prominent public offices or one of the other items applies to you:

- Head of state or government, senior politician, high administrative, judicial or military office, or official of a political party, senior position within a stateowned enterprise (member of a senior executive body).
- None of the above applies to me
- I am an immediate family member of one of the above, namely:

## 3. National Insurance Number

Do you have a National Insurance (NI) Number?  
Yes  No  If 'YES' you must enter it here:

(You should be able to find your NI number on a payslip, form P45 or P60, a letter from HM Revenue & Customs, a letter from the DSS, or pension order book)

## 4. Bank Details

All payments will only be made by direct credit by the Bankers Automated Credit System (BACS) to an account with a bank or building society within the UK clearing system. **This section MUST be completed.**

Bank/Building Society

Address

Postcode

Name of Account

Bank Sort Code

Full Account Number

Building Society Reference or Roll Number (if applicable)

----- PLEASE DO NOT DETACH -----

## 5. Existing ISA transfer request mandate - for further mandates please photocopy this form

Please indicate which option(s):  Cash ISA  
 Stocks and Shares ISA

Title (Mr/Mrs/Ms/Other)  Initial

Surname

Telephone

Date of birth

Permanent residential address

Postcode

I hereby instruct you to sell investments within my Plan immediately and transfer the cash proceeds, together with any interest, dividends, rights and any other cash within my Plan (less any amount you are entitled to keep under the terms of the Plan), to **Keydata Investment Services Limited, Floor 8, Fountain House, 2 Queens Walk, Reading RG1 7QF.**

Please transfer my Plan once instructions have been received from Keydata to do so. After transfer, all dividends and tax credits due should be made payable directly to me. If you are not in a position to transfer my cash proceeds by 15 August 2008 at the latest, please cancel my request to transfer and reinstate my ISA.

Signature

Date

**Now please complete the details of the Plan and account number on the reverse of this form** ▶

## 6. Appropriateness

Have you received a personal recommendation from your adviser to invest in this product?  Yes  No

If 'Yes', please proceed to Section 7, Declaration & Authority. If 'No' please answer the questions below before proceeding to Section 7, Declaration & Authority. If you do not answer these additional questions, we will not be able to determine whether this investment is appropriate for you.

### Appropriateness Questions

The following questions only need to be answered if you have not received investment advice.

#### Question 1

Have you, in the last five years, held any of the following investments?

- Shares  Stock and Shares ISAs/PEPs  
 Unit Trusts/OEICs  A product similar to the one you are applying for (known as a Structured Product) i.e. a fixed term investment, where you may get back less than you invested.  
 Tracker Funds

#### Question 2

Do you understand that stock market movements will influence the return you receive?  Yes  No

#### Question 3

Do you understand that the investment has been designed to be held for the full term?  Yes  No

#### Question 4

Do you understand that surrender or transfer to another Plan Manager before maturity is only available on a twice-monthly basis and that by doing so you may get back less than you invested due to the underlying assets, surrender charges and/or any other charges built into the product?  Yes  No

#### Question 5

Do you fully understand the Investment Risks outlined in the Brochure? Full details on these are contained within the Brochure, which you should have read and understood.  Yes  No

## 7. Declaration & Authority

### I declare that:

- All subscriptions made belong to me;
- I am 18 years of age or over;
- I have not subscribed and will not subscribe more than £7,200 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 not, and am not acting on behalf of, a resident of the United States; and that I will not assist any person who is so resident to acquire investments in the Protected Emerging Europe Plan. Further, I agree to inform you immediately should I become a resident of the United States.

### I authorise Keydata Investment Services Limited:

- To invest my cash subscription on the first available dealing date after receipt of all cleared funds from my existing Plan Manager(s) as specified but in any event no later than the final dealing date on 22 August 2008;
- To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash or other proceeds;
- To make on my behalf any claims to relief from tax in respect of ISA investments; and
- To supply an 6 monthly statement.

Early encashment may also lead to some loss of capital. Investors should be aware that the value of units and shares can fall as well as rise and that past performance IS NOT an indication of future performance.

The Plan Manager may, at their discretion, extend the closing date beyond that advertised as pertaining to this offer, but such an extension will not in any event extend beyond the Start value Date. In the event of this occurring, revised dates will be advertised on our website or alternatively you may call 0844 391 3429 for information.

I have read and understood the Protected Emerging Europe Plan Brochure/Key Features/Terms & Conditions and accept the terms under which my investments will be managed. I acknowledge that the Plan Manager will provide a 6 monthly statement on the value of my investment. I declare that this application form has been completed to the best of my knowledge and belief.

Signature

Date

Keydata Investment Services limited will store information that we hold about you for administration and marketing. We may contact you about our services, and the services of companies we have a relationship with, in the future. If you would prefer not to receive such information please mark this box. You are entitled to access the information we hold about you upon payment of a fee.

## For financial adviser completion

I certify that: (please tick as appropriate)

1. I have verified the identity of the Applicant in accordance with the Money laundering Regulations 2007 and confirm that documentary evidence has been obtained and identity checks have been undertaken to confirm that the Applicant name and address as shown on the Application Form is correct. Details of the records of identity are as described below (document name + detail + date, e.g. Driving licence SMITH625082JT4EG (expiry date), Gas bill 30.04.08 cus ref12345678) and copies are available for inspection if required:

Proof(s) of identity

Proof(s) of residency

Any additional check(s) or relevant customer information

- OR 2. I have not verified the identity of the Applicant for the following reason:

Signature

Date

### Financial Adviser Details

Full name\*

FSA Number

\*Required in order that you receive copies of pertinent information regarding your client's investment.

Have you provided the Customer with investment advice in relation to this product?

Yes  No

If 'No', please specify how the investment has been taken out AND check if section 6 of this application form has been completed by the client.

Execution only  Yes  No

Direct offer  Yes  No

Other, please specify

Commission Payment method  Initial  Trail

Additional Instructions

(Please note that commission sacrifice is not allowable in respect of ISA investments. Trail commission cannot be rebated into the Plan.)

PLEASE DO NOT DETACH

## Existing ISA transfer request mandate (continued)

Name of existing Plan Manager

Address of existing Plan Manager

Postcode

Account Number

Type of Account\*

Approx Transfer Amount

Account Number

Type of Account\*

Approx Transfer Amount

Account Number

Type of Account\*

Approx Value

Postcode

\* Type of account e.g. Stocks and Shares ISA or Cash ISA.  
Minimum aggregate transfer value £5,000

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