

# Unit Trust/OEIC Transfer to ISA Form

## SECTION A PERSONAL DETAILS

### This section is mandatory

Please provide all of your personal details. Providing your email address will allow us to send certain documentation via email. If you don't provide an email address you will be unable to update your account via email. You will only be able to provide instructions in writing or via the telephone. This includes new investments into your account and redemptions from your account.

### Client Identification

In order to comply with Money Laundering Regulations we need to verify your identity. We do this by checking your details against an electronic identity verification platform. These checks won't have any impact on your credit rating. If we can't verify your identity we may write to you with further requirements.

### Overseas Investors

Non-UK residents are typically unable to invest in a Stocks and Shares ISA unless they are a crown employee serving overseas or are married or in a civil partnership with a person who performs such duties.

## SECTION C INCOME INSTRUCTION & BANK DETAILS

### This section is mandatory.

Please tell us what you would like us to do with any income from your investment.

If no bank details are provided we are unable to pay out any income and this will instead be reinvested, using accumulation shares where available.

Any payment made must be to an account held in your name. We are unable to offer dividend payments by cheque.

Unit Trust/OEIC Transfer to ISA Form 2022/2023 IFSL Fund Services

Please complete this form in **BLOCK CAPITALS** and return to Investment Fund Services Limited (IFSL), Marlborough House, 59 Cheyne New Road, Basingstoke, Hants RG24 0JG; via email at [dealing@ifslfunds.com](mailto:dealing@ifslfunds.com) by facsimile on 01256 433044 or to your financial adviser. This form is to be used to redeem an investment held in a Unit Trust/OEIC account and use the proceeds to invest into either a new or existing Stocks and Shares ISA account.

**SECTION A - PERSONAL DETAILS - please complete this section in full as this is mandatory**

Title \_\_\_\_\_ Surname \_\_\_\_\_ Forename(s) \_\_\_\_\_  
 Permanent address \_\_\_\_\_  
 Postcode \_\_\_\_\_  
 Nationality \_\_\_\_\_ Date of birth \_\_\_\_\_  
 National insurance number \_\_\_\_\_ If you do not have a NI number please tick this box   
 Telephone number \_\_\_\_\_  
 Email address \_\_\_\_\_  
 Existing holder ID / account number (if known) \_\_\_\_\_  
 Where you have provided an email address, information and documentation relevant to the operation and maintenance of your account will be sent via email. Please tick this box if you wish to receive this via the post:   
 I apply to subscribe to a Stocks & Shares ISA for the tax year 2022/2023 and each consecutive tax year thereafter until further notice. (Please be aware that this statement, recommended by HMRC, enables you to invest in consecutive tax years without the need for a new application form. It does not oblige you to invest with IFSL in consecutive tax years unless you decide to do so.)

**SECTION B - FINANCIAL ADVISER'S DETAILS - to be completed by your financial adviser if applicable**

Adviser's name/firm \_\_\_\_\_ Adviser's firm stamp \_\_\_\_\_  
 Adviser's email address \_\_\_\_\_  
 FCR/FSN number \_\_\_\_\_  
 Agency code (if known) \_\_\_\_\_  
 Please tick all of which apply:  Cancellation rights apply  Discretionary business  Advised business  Execution only  Portfolio management services

**SECTION C - INCOME INSTRUCTION & BANK DETAILS - please tick only one option. This section is mandatory**

When provided, please ensure these are accurate as we cannot accept any responsibility for payments made to incorrect account details which have been added here.  
 REINVEST INTO ACCUMULATION SHARES (accumulation shares will be used where available) OR  PAY INCOME TO MY BANK ACCOUNT (see below)  
 Cheques cannot be sent for dividend payments, if bank details are not provided income will be reinvested.  
 Name of bank/building society \_\_\_\_\_  
 Name of account holder \_\_\_\_\_  
 Bank account number \_\_\_\_\_ Sort code \_\_\_\_\_  
 Roll number / building society reference \_\_\_\_\_

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## SECTION B FINANCIAL ADVISERS DETAILS

If you are investing via a financial adviser they will need to complete this section.

## SECTION D INVESTMENT DETAILS

### This section is mandatory

The total value of the transfer from your UT/OEIC account into your ISA account cannot exceed the current ISA subscription allowance of £20,000.00. This includes any subscriptions already made into your ISA in the current tax year.

### Part 1

Please provide details of the investment(s) you wish to redeem from your UT/OEIC account.

### Part 2

Please provide details of the investment(s) you wish to subscribe to in your ISA account.

The SEDOL/ISIN of your chosen funds are available from your Financial Adviser. Alternatively they are available in the funds section of our website [www.ifslfunds.com](http://www.ifslfunds.com).

Minimum investment requirements are also available on the website within each fund prospectus.

**SECTION D - INVESTMENT DETAILS - please provide details of the funds you wish to sell from your Unit Trust/OEIC account and the funds you wish to purchase in your ISA account. Please complete both part 1 and part 2. This section is mandatory**

- The value of your redemption request in part 1 must equal the value of your subscription request in part 2.
- If you wish to redeem/subscribe all of your holding, write ALL in the cash amount box.
- If the UT/OEIC account is set up in joint names a separate written instruction must be sent with this application, signed by all registered holders, confirming they are happy to redeem the investment detailed in Part 1 below.
- Your total ISA subscription for the tax year 2022/2023, including any subscriptions already made, must not exceed £20,000.00.

**PART 1 - REDEMPTION INSTRUCTIONS**

I wish to make the following redemptions:

Insert UT/OEIC account number below \_\_\_\_\_

Fund name	SEDOL/ISIN of Fund	Cash amount	Unit amount
1.			
2.			
3.			
4.			
5.			
		TOTAL	

Your funds cannot fall below the minimum investment amount. Please refer to the fund prospectus. This can be found at [www.ifslfunds.com](http://www.ifslfunds.com)

**PART 2 - SUBSCRIPTION INSTRUCTIONS**

I wish to purchase the following in:

MY EXISTING ISA ACCOUNT insert ISA account number below \_\_\_\_\_ OR  A NEW ISA ACCOUNT

Fund name	SEDOL/ISIN of Fund	Cash amount	Unit amount
1.			
2.			
3.			
4.			
5.			
		TOTAL	

ISA investment limit amount for the tax year 2022/2023 £20,000.00

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## SECTION E PRIVACY NOTICE

Please inform us if you wish to be kept informed of our investment products and services.

## SECTION F DECLARATION

This section is mandatory.

Please ensure you read this section fully and sign & date in the appropriate place.

Where the UT/OEIC account is set up in joint names a separate written instruction must be sent with this application, signed by all registered holders, confirming they are happy to redeem the investment detailed in Section D Part 1.

**SECTION E - PRIVACY NOTICE**

We're committed to processing your personal data that you provide to us in line with the latest data protection and data privacy legislation in force in the United Kingdom. We'll use your information in order to provide the service detailed in this Transfer Form and your investments, communicate with you and provide information on our products and services where we think it's in your best interests and for the purposes of fraud prevention.

**Our Full Privacy Notice**

It's important that you read our full Privacy Notice, which explains how the personal information you give us will be used. The Privacy Notice can be found on our website at [www.ifslfunds.com](http://www.ifslfunds.com), or you can ask us for a copy.

**COMMUNICATING WITH YOU INCLUDING DIRECT MARKETING**

We'd like to let you know about IFSL investment products and services we think would be of interest to you. However, we'll only contact you if you consent by ticking the boxes below.

**Your marketing preferences**

I'm happy for IFSL to contact me in the following ways about investment products, services and promotional offers that may be of interest.

Please tick here: By post  By phone  By email

You can withdraw your consent at any time by letting us know by post, phone or email. Please note we will continue to contact you with information relevant to the operation and maintenance of your account as required by law.

**SECTION F - DECLARATION - please ensure that you read and sign this section as this is mandatory**

I declare that I have read and understood the relevant Key Investor Information Document (KIID), the Supplementary Information Document (SID) and the IFSL Terms & Conditions and agree to be bound to these. I understand that these documents form part of the terms and conditions of my investment in the fund(s) and are available at [www.ifslfunds.com](http://www.ifslfunds.com).

I acknowledge that the full prospectus of the relevant fund(s) (which includes the risk warnings relevant to the fund(s) along with details of minimum investment amounts of the fund(s) and the dealing time deadlines for processing of subscriptions), are available from IFSL and also at [www.ifslfunds.com](http://www.ifslfunds.com).

To the best of my knowledge and belief, all statements made in this application form are true and correct and I shall inform the plan manager immediately of any changes herein.

I declare that I am 18 years of age or over, I am resident in the United Kingdom (UK) 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 UK, or I am married to or in a civil partnership with, a person who performs such duties. I will inform IFSL if I 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 confirm that I am not a US Person (either a resident or citizen) and acknowledge that US Persons cannot hold shares/units in the fund(s).

I apply to subscribe for a Stocks & Shares ISA for the tax year and amount, stated overleaf and any consecutive years thereafter.

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

I have not subscribed/made payments, and will not subscribe/make payments, more than the overall subscription/payment 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.

All subscriptions made and to be made belong to me.

I hereby authorise IFSL:

(i) to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash

(ii) to make on my behalf any claims to relief from tax in respect of ISA investments

I have read the IFSL Privacy Notice concerning the use of my personal data.

Client Signature \_\_\_\_\_ Date: | | | | | | | |

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## CHECKLIST

- Have you read the KIID and SID for the fund(s) you are investing in?
- Have you provided up to date bank details if you wish to have your income paid out to you? Without bank details any income will be reinvested using accumulation shares where available
- Have you read, signed & dated the declaration?
- Have you read the IFSL Terms & Conditions?

## WHAT IS A KIID & SID?

The KIID (Key Investor Information Document) is a document which gives key information about a fund(s) including the nature and risk of the fund. The SID (Supplementary Information Document) is a document which provides additional useful information you should be aware of before investing with IFSL. These documents are available within the funds section of our website [www.ifslfunds.com](http://www.ifslfunds.com) and **must be read before submitting the application.**

Investment Fund Services Limited (IFSL) is registered in England and Wales No. 06110770. Authorised and regulated by the Financial Conduct Authority and a member of The Investment Association.

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 Website: [www.ifslfunds.com](http://www.ifslfunds.com)

**IFSL**

Fund Services