



**Stocks & Shares**

**Individual Savings Account**

**Application Form**

**2023 / 24**



**Client Name:**

I apply to subscribe £  to a Balkerne Asset Management Stocks & Shares Individual Savings Account (ISA) for the tax year ending 5 April  2024 and each subsequent year until further notice.

## STOCKS & SHARES INDIVIDUAL SAVINGS ACCOUNT (ISA)

- ☐ **The CONSERVATIVE Portfolio (Lower Risk Profile)**  
(this service may include up to 45% investment in UK & International Equities)
- ☐ **The INCOME Portfolio (Lower than Medium Risk Profile)**  
(this service may include up to 67% investment in UK & International Equities)
- ☐ **The BALANCED Portfolio (Medium Risk Profile)**  
(this service may include up to 83% investment in UK & International Equities)
- ☐ **The GROWTH Portfolio (Higher than Medium Risk Profile)**  
(this service may include up to 100% investment in UK & International Equities)
- ☐ **The ADVENTUROUS Portfolio (Higher Risk Profile)**  
(this service may include up to 100% investment in UK & International Equities)

## INCOME REQUIREMENTS

Please indicate whether you wish to take an income from your investment

- ☐ REINVEST (No income to be distributed)
- ☐ DISTRIBUTE (Please complete the section below)

## DISTRIBUTION OF INCOME

Please indicate the frequency and amount of income you wish to have paid out from your investment portfolio

### Quarterly Options

- Variable Quarterly Dividend Payment ☐
- Fixed Quarterly Income Payment (specify amount below) ☐
- Amount of Fixed Quarterly Income Payment £

Please specify when you would like the Quarterly Income Payments to start from

18 January ☐ 18 April ☐ 18 July ☐ 18 October ☐

### Monthly Option

- Fixed Monthly Income Payment (specify amount below) ☐
- Amount of Fixed Monthly Income Payment £

Please indicate when you would like the Monthly Income Payments to start from

18<sup>th</sup> of  (month)

If income has been requested, it will be sent directly to your Bank or Building Society account by BACS (Bankers Automated Clearing System).

## Bank / Building Society Details

Name and Address of Bank or  
Building Society (Incl. Postcode)

Account Sort Code

Account Number

Account Name

Building Society Roll / Ref Number

### **Please be Aware**

***Before investing in the Balkerne Asset Management Stocks & Shares ISA, we recommend that you read the Key Features, Terms & Conditions and Charges and Costs of our Services as applicable to this service as they provide details of the terms, risks, and costs under which the investment(s) will be managed. In the event that you do not understand any aspect of the Key Features, Terms & Conditions or Charges and Costs of our Services, you should ask further questions of your Financial Adviser in order to seek clarification.***

### **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 and a Stocks & Shares ISA in the same tax year.
- 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, and
- 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 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 Balkerne Asset Management 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.
- The details contained in this application form are accurate and true and are in accordance with my investment objectives and attitude to investment risk as discussed with my financial adviser. I further confirm that I have been given sufficient time and opportunity to read and consider the Stocks & Shares ISA Key Features and Terms & Conditions and the Schedule of Charges and Costs of our Services and appreciate the terms, risks and costs under which the investment(s) will be managed.

### **I authorise Balkerne Asset Management:**

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

### **I agree to the ISA terms and conditions.**

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

**Client Signature**

**Date**

**Print Full Name**

## FINANCIAL ADVISER REMUNERATION AGREEMENT

I confirm that I have received advice relating to this investment and hereby request Balkerne Asset Management to pay my adviser charge directly to my Financial Adviser as detailed below.

This arrangement is to remain in place until I give my instructions in writing to Balkerne Asset Management that this arrangement should be cancelled, or I cease to be an investor with Balkerne Asset Management.

### Amount of Adviser Agreed Remuneration:

1. Initial Adviser Agreed Remuneration of [ ] % of funds invested which equates to the sum of £ [ ] (Estimated where the transfer of funds / stocks is not specifically known).

### PLUS

2. An Annual Portfolio based Ongoing Adviser Charge of [ ] % of funds held, paid in quarterly instalments.

### Financial Adviser Details:

Full Address and Postcode of  
Financial Adviser

Adviser FCA Registered Number

Adviser Telephone Number

Adviser Email

**Adviser Signature**

Date

Print Adviser Name

### Declaration and Client Signatures:

I agree and authorise Balkerne Asset Management to pay my Financial Adviser the agreed adviser charges as detailed above.

### APPLICANT

**Signature**

Date

Print Full Name