



**Stocks & Shares**  
**Individual Savings Account**  
**Transfer Application Form**



Client Name:

## 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 and Terms & Conditions pertinent 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 or Terms & Conditions you should ask further questions of your Financial Adviser in order to seek clarification.***

**CLIENT DECLARATION:**

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

**Client Signature**

Date

Print Full Name

## Your existing ISA(s)

Name of Account Manager (1)

Account No

Is your current tax year ISA to be transferred? YES  NO

If %ES+please note that such transfers must be the whole amount saved in the current tax year in the ISA, up to the day of transfer.

Is a previous tax year ISA to be transferred? YES  NO

If %ES+please select one of the following options:

Whole of tax year to be transferred

Part of tax year to be transferred

If %Part of tax year+please specify tax year and amount:

Tax year

Amount £

Tax year

Amount £

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## Instruction to Existing ISA Account Manager (1)

Name and address of your current ISA Account Manager

Name

Account No

Address  
(Incl. Postcode)

Is your current tax year ISA to be transferred? YES  NO

If %ES+please note the transfer must be the whole amount saved (right up to the day of transfer)

Is a previous tax year ISA to be transferred? YES  NO

If %ES+please select one of the following options:

Whole of tax year to be transferred

Part of tax year to be transferred

If %Part of tax year+please specify tax year and amount:

Tax year

Amount £

Tax year

Amount £

I request you to transfer the above mentioned ISA(s) to Balkerne Asset Management, 1 Balkerne Hill, Colchester, Essex, CO3 3FG. Where applicable, I request you to sell the appropriate investments held in my account, as detailed, before transfer and send a cheque(s) for the proceeds to the above address. Cheques should be made payable to %Balkerne Asset Management Clients Account+. If you have any queries with these instructions please contact the Transfer Department (Tel: 0808 200 0808) at Balkerne Asset Management.

Signature

Print Full Name

Date



## Your existing ISA(s)

Name of Account Manager (2)

Account No

Is your current tax year ISA to be transferred? YES  NO

If %ES+please note that such transfers must be the whole amount saved in the current tax year in the ISA, up to the day of transfer.

Is a previous tax year ISA to be transferred? YES  NO

If %ES+please select one of the following options:

Whole of tax year to be transferred

Part of tax year to be transferred

If %Part of tax year+please specify tax year and amount:

Tax year

Amount £

Tax year

Amount £

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## Instruction to Existing ISA Account Manager (2)

Name and address of your current ISA Account Manager

Name

Account No

Address  
(Incl. Postcode)

Is your current tax year ISA to be transferred? YES  NO

If %ES+please note the transfer must be the whole amount saved (right up to the day of transfer)

Is a previous tax year ISA to be transferred? YES  NO

If %ES+please select one of the following options:

Whole of tax year to be transferred

Part of tax year to be transferred

If %Part of tax year+please specify tax year and amount:

Tax year

Amount £

Tax year

Amount £

I request you to transfer the above mentioned ISA(s) to Balkerne Asset Management, 1 Balkerne Hill, Colchester, Essex, CO3 3FG. Where applicable, I request you to sell the appropriate investments held in my account, as detailed, before transfer and send a cheque(s) for the proceeds to the above address. Cheques should be made payable to %Balkerne Asset Management Clients Account+. If you have any queries with these instructions please contact the Transfer Department (Tel: 0808 200 0808) at Balkerne Asset Management.

Signature

Print Full Name

Date





## 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 [REDACTED] % of funds invested, which equates to the sum of £ [REDACTED] (Estimated where the transfer of funds / stocks is not specifically known).

### PLUS

2. An Annual Portfolio based Ongoing Adviser Charge of [REDACTED] % 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