

To open an Equiniti Shareview Dealing ISA please visit [shareview.com/isa](http://shareview.com/isa) or complete and sign this application form and return it to the address provided in this form, along with any enclosures. Please read this form in conjunction with the Equiniti Investment Account and ISA Terms and Conditions which may be found on our website. If you have any questions about this form please call our Customer Experience Centre on 0345 300 0430. **Please complete all fields in this form (where applicable).**

If a company has made you aware of this product or have a promotional code, please complete the company name/code here:

### Section A Your personal details

If you already have an Equiniti Investment Account, please write the account number here:

Title Mr  Mrs  Miss  Ms  Other

First Name(s)

Last Name(s)

Date of Birth

Mother's Maiden Name

Daytime Telephone Number

Email Address

Country of Birth

Town of Birth

Permanent Home Address

Postcode

#### Tax Residence Details:

Country of Tax Residence

National Insurance Number/  
Tax Identification Number

I have no National Insurance Number/  
Tax Identification Number

If you do not have a National Insurance Number/  
Tax Identification Number, please indicate why

Additional Country  
of Tax Residence (1)



Taxpayer Identification  
Number (1)



Are you a United States Green Card holder?

Yes

No

#### Nationality Details:

Please disclose your nationality details, by completing the country of each (up to three) in the boxes below.




#### Primary Nationality Details:

If you have **sole UK Nationality**, you do not need to complete this part. For all other customers, you will need to establish your Primary Nationality and complete the relevant National Identifier & National ID Code details in the box below, according to the instructions in the **Appendix** (at the end of the form) or using [www.nationalitycalculator.co.uk](http://www.nationalitycalculator.co.uk).

National Identifier

National ID Code

Tick if unable  
to provide

First Priority




Second Priority

## Section A (continued)

Does your employer need copies of your contract notes?

Yes

No

If so, please provide your employer's details (including company name, contact name, UK office address and postcode):

## Section B Banking Details

You must set up a Direct Debit to us from your nominated bank account by filling in this section. This will allow you to pay money into your Shareview Dealing account and allow us to transfer any income you receive from dividends and proceeds from sales to your bank account. The annual ISA fee may be taken from this nominated bank account.

Fees may be deducted from the cash balance of your Investment Account. If we are unable to deduct fees either from your cash balance or from your nominated bank account, shares will be sold from your account to meet this charge.

### Monthly payments from your bank account to your Shareview Dealing ISA

You may set up a monthly payment instruction to fund your ISA.

If you would like to make regular payments please enter the amount you would like to transfer each month.

£

Your bank account will be debited on the 27<sup>th</sup> day of each month or the nearest business day thereafter.

Instruction to your bank or building society to pay by Direct Debit

Name and full postal address of your bank or building society:

To: The Manager

Bank/Building Society

Bank/Building Society address

  
  

Postcode

Bank/Building Society account number

Branch sort code

Name of Account holder

Service User Number

Service User Reference (if applicable)

Instruction to your bank or building society

Please pay Equiniti Financial Services Limited Direct Debits from the account detailed in this instruction, subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with Equiniti Financial Services Limited and, if so, will be passed electronically to my bank/building society.

Signature

Date



We recommend that you retain a copy of the Direct Debit guarantee

### The Direct Debit Guarantee

- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit, Equiniti Financial Services Limited will notify you 5 working days in advance of your account being debited or as otherwise agreed. If you request Equiniti Financial Services Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by Equiniti Financial Services Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when Equiniti Financial Services Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify



## Section C Subscription

Please state how you wish to fund your ISA. The maximum subscription to a stocks and shares ISA for the tax year 2020/21 is £20,000 (less any contributions made to any combination of permitted ISAs).

1. I enclose a cheque to the value indicated below payable to Equiniti Financial Services Limited to subscribe to my ISA.   
I understand that this will be returned to me if my application is unsuccessful.

£

2. I currently have an Equiniti Investment Account and would like to transfer cash to the value indicated below from this account to subscribe to my ISA. I understand that the transfer will only take place once my application has been successful.

£

3. I have completed the request to make a payment or regular payment from my nominated bank account to my ISA in section B of this application form. I understand that any regular payments will be taken on or after the 27<sup>th</sup> of each month, and will begin once my application has been accepted.

4. I wish to credit funds by Maestro or VISA Delta debit card to my ISA

(You can do this on our secure website or by contacting our Customer Experience Centre on 0345 300 0430 once your application form has been accepted).

5. I wish to open my ISA by transferring in from another ISA Manager. I enclose a completed and signed ISA Transfer Form.

6. I wish to transfer share certificates into my ISA. I understand that this involves transferring the shares into my Investment Account, selling them and repurchasing them in my ISA, and will incur commission charges.

I enclose a completed CREST Transfer Form.

Please indicate the maximum value of shares you wish to transfer to the ISA

Any part of your holding above this value will be retained in your Investment Account.

£

7. I wish to transfer shares from a savings-related share option scheme. I enclose a copy of the Notice of Exercise of Option to prove that the shares are from such a scheme. I enclose a copy of the transfer advice evidencing that this transfer is within 90 days of the exercise of option date. I also enclose a completed CREST Transfer Form.

Please indicate the maximum value of shares you wish to transfer

Please select what you would like us to do with any remainder of your shares

Transfer into my Equiniti Investment Account (I enclose a second CREST Transfer Form)

Return to me in certificated form

£

8. I wish to transfer shares from a share incentive plan. I have provided a copy of the notice of award where I have been awarded free, partnership and/or matching shares. If I have received dividend shares I enclose a copy of the Notice of Acquisition. I enclose a copy of the transfer advice evidencing that this transfer is within 90 days of the shares ceasing to be subject to plan. I also enclose a completed CREST Transfer Form.

Please indicate the maximum value of shares you wish to transfer

Please select what you would like us to do with any remainder of your shares

Transfer into my Equiniti Investment Account (I enclose a second CREST Transfer Form)

Return to me in certificated form

£

## Section D Dividends and income preference

Dividends will be paid into the cash balance of your account unless you instruct otherwise.

### Income preference

Please indicate your preference regarding cash dividends paid into your account by choosing one of the following two options:

Please retain any income I receive in the cash balance of my account

or

Please pay any income I receive to my nominated bank account:

Monthly  Quarterly  Half-yearly  Yearly  on  day of the month (1–28 only)

**Please note**, you can reinvest the income into further shares of the issuing company, at a commission of £1.75 per stock on selected securities. You can set this up online or by calling our Customer Experience Centre, once the stocks are in your account.

## Section E Declaration and Authority

Please read this section carefully before signing the Declaration

I apply to subscribe for an Equiniti Shareview Dealing 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 any combination of permitted ISAs 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.
- 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 the 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 shall inform Equiniti Financial Services Limited 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 authorise Equiniti Financial Services Limited:
  - 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.
- Where applicable, I appoint Equiniti Financial Services Limited to undertake the transactions enclosed with this declaration.
- I am aware that in certain circumstances Equiniti will be obliged to share some of this information with UK tax authorities, who may pass it on to other tax authorities.
- This service is managed and administered in accordance with the Terms and Conditions which can be viewed on our website or sent to you upon request. This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before completing this form.
- I declare that this application form has been completed to the best of my knowledge and belief and will promptly inform you of any changes to my circumstances.
- I permit Equiniti Financial Services Limited to submit the data provided by me in this application to Experian or any other external database used by Equiniti Financial Services Limited for the purpose of verifying my identity. A record of the search will be retained.

Signature

Date

D	D	M	M	Y	Y	Y	Y
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## Section F Enclosures Checklist

Please use this list to check you have enclosed all supporting documents.

### Maturity Notice

Ensure that you have enclosed all required maturity documents (7 and 8 in Section C only).



### CREST Transfer Form

Please ensure that you have enclosed a completed CREST Transfer Form for your ISA (6, 7, 8 in Section C only).

For 7 and 8 in Section C, you will also need to enclose a second CREST Transfer Form for your Investment Account.



## Next Steps

### Please return this form to:

Equiniti  
PO Box 4605  
Aspect House  
Spencer Road  
Lancing  
BN99 6QY

You will receive most communications from us by online secure message, accessible from your account. Should you wish to change this preference, please call 0345 300 0430.

1. If you are not an existing customer and your application is accepted you will receive the following:
  - Your account number
  - Under separate cover, your PIN, which you will need to change the first time you log in on the Shareview Dealing website.
2. If you are an existing customer, you will receive notification that your ISA has been activated, and will be able to use your existing username/account number and PIN to access the new account.
3. If your application is unsuccessful you may be required to provide additional ID documents

## Appendix National Identifier Instructions

Below, you will find a table that lists the countries of the European Economic Area (EEA), including a section for any non-EEA countries, and details of each country's requested National Identifier. Following the instructions and using the information provided in the table, please establish your **Primary Nationality** & complete the relevant **National Identifier** details in Section F. Alternatively you can refer to [www.nationalitycalculator.co.uk](http://www.nationalitycalculator.co.uk).

You are **not** required to complete the National Identifier details in Section A if you are a UK National **only**.

Using the table

### 1. Establishing your Primary Nationality

Referring to the table below and the **Country column**, whichever of your nationalities is listed **highest** will be your **Primary Nationality**. (Please note, the countries are ordered alphabetically according to the National ID Code). E.g. if you are a national of the United Kingdom and Spain, as Spain is listed higher than the UK in the Country column list, your Primary Nationality will be Spain.

### 2. Identifying your National Identifier

Once you have established your **Primary Nationality**, you must provide us with the details of a relevant **National Identifier** as requested in the table below, in the order of priority as indicated in each field. Please refer to the country specific instructions in the table for further guidance. E.g. using the same example as above, if your country of Primary Nationality is Spain, you will need to complete your Spanish Tax Identification Number & the National ID Code (ESI) in Section A.

#### Please note:

- If you are unable to provide a National Identifier as requested, please complete the National ID Code & **tick the box** in Section A to confirm that you are unable to provide the details.
- You only need to provide the details of **one** National Identifier **in the order of priority** listed in each field. E.g. if you have established that your country of Primary Nationality is Czech Republic, you should only provide us with your Czech Republic National Passport Number if you are unable to provide your National Identification Number in the first instance and tick to confirm you are unable to provide the first priority National Identifier.
- \*If you have established your **Primary Nationality** as one of the following countries, **Estonia, Spain, Iceland, Italy, Malta or Poland** and you are unable to provide a National Identifier as requested, **trading rules will prevent us from accepting your instruction to trade or transfer**.

**Please contact Customer Services if you have any questions regarding this table and/or completing the relevant details in Section A.**

Country	National Identifier	National ID Code	Country specific instructions for completing Section A
Austria	No additional data required	AT I	Leave the National Identifier & National ID Code boxes blank.
Belgium	<b>Belgian National Number (Numéro de registre national – Rijksregisternummer)</b>	BE I	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
Bulgaria	<b>Bulgarian Personal Number</b>	BG I	
Cyprus	<b>National Passport Number</b>	CY I	
Czech Republic	First Priority: <b>National Identification Number (Rodné číslo)</b>	CZ I	Enter the National Identifier & National ID Code details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details or tick to confirm you do not have it.
	Second Priority: <b>National Passport Number</b>	CZ 2	
Germany	No additional data required	DE I	Leave the National Identifier & National ID Code boxes blank.
Denmark	<b>Personal Identity Code</b>	DK I	Enter the requested National Identifier & National ID Code details, or tick to confirm if you do not have it.
*Estonia	<b>Estonian Personal Identification Code (Isikukood)</b>	EE I	
*Spain	<b>Tax Identification Number (Código de identificación fiscal)</b>	ES I	
Finland	<b>Personal Identity Code</b>	FI I	
France	No additional data required	FR I	Leave the National Identifier & National ID Code boxes blank.
United Kingdom	<b>UK National Insurance Number</b>	GB I	Enter the requested National Identifier & National ID Code details, or tick to confirm if you do not have this.
Greece	<b>10 DSS Digit Investor Share</b>	GR I	
Croatia	<b>Personal Identification Number (OIB – Osobni identifikacijski broj)</b>	HR I	

## Appendix National Identifier Instructions continued

Country	National Identifier	National ID Code	Country specific instructions for completing Section A
Hungary	No additional data required	HU1	Leave the National Identifier & National ID Code boxes blank.
Ireland	No additional data required	IR1	
*Iceland	<b>Personal Identity Code</b>	IS1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
*Italy	<b>Fiscal code (Codice Fiscale)</b>	IT1	
Liechtenstein	First Priority: <b>National Passport Number</b>	LI1	Enter the National Identifier & National ID Code details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>National Identity Card Number</b>	LI2	
Lithuania	First Priority: <b>Personal code (Asmens Kodas)</b>	LT1	Enter the National Identifier & National ID Code details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>National Passport Number</b>	LT2	
Luxembourg	No additional data required	LU1	Leave the National Identifier & National ID Code boxes blank.
Latvia	<b>Personal Code (Personas Kods)</b>	LV1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
*Malta	First Priority: <b>National Identification Number</b>	MT1	Enter the National Identifier & National ID Code details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>National Passport Number</b>	MT2	
Netherlands	First Priority: <b>National Passport Number</b>	NL1	Enter the National Identifier & National ID Code details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>National Identity Card Number</b>	NL2	
Norway	<b>11 digit Personal ID (Foedselsnummer)</b>	NO1	Enter the requested National Identifier & National ID Code details, or tick to confirm if you do not have this.
*Poland	First Priority: <b>National Identification Number (PESEL)</b>	PL1	Enter the National Identifier & National ID Code in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>Tax Number (Number Identyfikacji podatkowej)</b>	PL2	
Portugal	First Priority: <b>Tax Number (N mero de Identificação Fiscal)</b>	PT1	Enter the National Identifier & National ID Code in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>National Passport Number</b>	PT2	
Romania	First Priority: <b>National Identification Number (Cod Numeric Personal)</b>	RO1	Enter the National Identifier & National ID Code in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>National Passport Number</b>	RO2	
Sweden	<b>Personal Identity Number</b>	SE1	Enter the requested National Identifier & National ID Code details or tick to confirm if you do not have this.
Slovenia	<b>Personal Identification Number (EMŠO: Enotna Matična Številka Občana)</b>	SL1	Enter the requested National Identifier & National ID Code details or tick to confirm if you do not have this.
Slovakia	First Priority: <b>Personal Number (Rodné číslo)</b>	SK1	Enter the National Identifier details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>National Passport Number</b>	SK2	
All other Countries (including Crown Dependencies such as Jersey, Guernsey, Isle of Man etc)	<b>National Passport Number</b>	XX1	Enter the requested National Identifier & National ID Code or or tick to confirm you do not have it. If you are a national of more than one non-EEA country, please refer to <a href="http://www.nationalitycalculator.co.uk">www.nationalitycalculator.co.uk</a> or contact Customer Experience Centre who will be able to assist you in establishing your Primary Nationality.