

## Personal Information

### PLEASE COMPLETE IN BLOCK LETTERS

Information marked \* is especially required and its omission will delay processing of your application. Please refer to the Terms and Conditions governing this application, which are available from the IFDS Financial Services website, and to the additional notes given on this form. In particular, please note you have a 5-business day right to withdraw your instruction to open a plan. Your plan will only be opened following the end of this period, after which subscriptions and/or transferred assets will be received into your plan.

Title:  \*Last name:

\*Forename(s):

\*Permanent residential address:

\*Post code:

Previous address if you have changed your address in the last three months

\*Post code:

\*Date of birth (dd/mm/ccyy):  /  /

\*Place of birth:

\*National Insurance number:

Your national insurance number, if you have one, can be found on payslips, HMRC forms P45, P60, notice of coding or tax return. If you have retired, it is the number shown on the front of your pension order book. If you do not have a national insurance or pension number, tick here:

Mothers maiden name (for security purposes):

### Telephone numbers

Daytime:  Mobile:

Email:  @

## Declaration and Authority

### I declare that:

- The Account investments to be transferred and 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 £7,200 in total to a Cash ISA and a Stocks & Shares ISA in the same 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;
- I am resident and ordinarily 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 IFDS Financial Services Limited if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties;

- I have read and accept the Terms and Conditions applicable to this application;
- the information I have supplied is complete and correct to the best of my knowledge and belief and I agree to inform IFDS Financial Services Limited in writing of any change in my circumstances affecting any of the information on this Application form.

### I authorise IFDS Financial Services Limited:

- to hold my transfer proceeds and Account investments, cash subscription, any other cash, interest, dividends and other rights or proceeds in respect of Account investments;
- to make on my behalf any claims to tax relief in respect of Account investments;
- to accept valid instructions from my authorised investment manager, whose details are given below, concerning the composition or disposition of my Account investments or the rights and benefits arising therefrom;
- to receive fees as stated in the Terms and Conditions.

I agree to the declaration and authority in respect of all fees, charges and subscriptions and I accept the Terms and Conditions.

Applicant signature 

Date

## Authorised Investment Manager

Name of Firm:

Investment Manager's Name:

Firm's registered head office:

Post Code:

Address for communications, if different:

Post Code:

FSA Regulatory number:

Telephone number(s)

Email:  @

### Fees to be taken from the Plan

I request IFDS FS to effect payment of the investment management charges from the Plan of my client, the Applicant. I have agreed these charges with my client and performed all necessary regulatory disclosures in respect of these fees.

### I/we confirm that:

I/we will perform all suitability and appropriateness tests required by regulation in respect of transactions performed for this Applicant, and will inform the Applicant of the results of those tests. Where fees are to be taken from the Plan I/we have discussed the implications of such deductions with the Applicant and the Applicant has understood those implications.

### Confirmation of Verification of Identity

#### I/we confirm that:

- the client information on page 1 was obtained by me/us in relation to the customer;
- the evidence I/we have obtained to verify the identity of the customer;
  - meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG;
  - exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).

#### I/we further confirm that:

the Applicant name and address given in this Application form correspond with our records and that the Applicant is applying on his/her own behalf and not as a nominee, trustee or in a fiduciary capacity for any other person.

Signed for and on behalf of:  
(name of Firm as above)

By (Name and signature of Investment Manager, as above):

X

## Frequency of Statements

Unless you request quarterly statements, UBS will send two statements each year, as at the end of June and December. Tick this box if you wish to receive a statement each quarter.

## Investment Details

I apply to subscribe to an IFDS FS Self Select ISA for the tax year 2008/09 and each subsequent year until further notice.

An ISA Application must contain a cash subscription instruction, transfer instruction, or both. Please tick the box(es) below to confirm the instruction(s) relevant to your application(s).

### Cash Subscription Instruction (complete if making a new ISA subscription)

I wish to subscribe £..... to my IFDS FS Self Select ISA for the tax year 2008/09 and enclose a cheque for that sum made payable to "IFDS Financial Services – a/c my name". e.g.: **IFDS Financial Services a/c John Smith**

The maximum annual subscription permitted under the ISA Regulations is currently £7,200 (2008/09 tax year). Subsequent subscriptions can be made, in the current or subsequent tax year, provided this subscription limit is not exceeded. Such subscriptions can be instructed by completing the Additional Subscription Form available from your agent and posting the form to us.

### Transfer Instruction (complete if you require the transfer of existing Stocks & Shares ISA or Cash ISA assets)

<input type="checkbox"/> I apply to transfer my existing ISA(s) to an IFDS Financial Services Self Select ISA	Total Value (see notes)	Cash	Securities	As Specified in
	£.....	£.....	£.....	ISA Transfer

Please note: We can accept an application to transfer a Stocks & Shares ISA (although current tax year ISA investments can only be transferred in full).

Please note: We can also accept an application to transfer a Cash ISA (although current tax year ISA investments can only be transferred in full).

In respect of ISA transfers, the actual value to be transferred cannot be calculated by your existing manager until the moment of transfer to IFDS Financial Services and will reflect the net proceeds of any sale of investments after deduction of any charges due to that manager and his agents.

I agree to the declaration and authority in respect of all fees, charges and subscriptions.

Applicant signature 

Date

Please send your completed form to: IFDS Financial Services Limited  
PO Box 9128  
Chelmsford  
Essex CM99 2AA

# ISA Transfer (Notification to your existing Plan Manager to transfer an ISA)

This part of the Application must be copied and completed for each Plan Manager from whom you wish to transfer your existing ISA(s)

## Investors details

Title:  Last name:

Forename(s):

Permanent residential address:

Post code:

National Insurance number:

## Existing ISA Manager

Name:

Address:

Post Code:

## ISA Transfer

- Please transfer ALL my previous years ISAs in CASH
- Please transfer ALL my previous years ISAs In-Specie/Stock, OR

Previous Tax Years*	Transfer %	Reference	Cash	In-Specie
<input type="text"/> - <input type="text"/>	------%	-----	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/> - <input type="text"/>	------%	-----	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/> - <input type="text"/>	------%	-----	<input type="checkbox"/>	<input type="checkbox"/>

\* Note: Please provide additional pages for further tax years

Current Tax Year	Transfer %	Reference	Cash	In-Specie
<input type="text"/> - <input type="text"/>	100%	-----	<input type="checkbox"/>	<input type="checkbox"/>

I hereby authorise and instruct you to transfer forthwith the above ISA(s) in cash and/or specie to IFDS Financial Services Limited, a Plan Manager approved by HM Revenue & Customs and to provide IFDS Financial Services Limited with all relevant information as it may require.

Applicant signature Date  


## Use of Email

We hereby (i) acknowledge and accept the risks contingent with us issuing dealing instructions by email to UBS AG, London branch ("UBS") and (ii) undertake to ratify all such email instructions upon which UBS may act and in consideration of UBS providing banking services to us, we hereby undertake to hold UBS harmless and indemnified from all losses, costs, damages and expenses which UBS incurs or which UBS may sustain in consequence of UBS so providing banking services to us.

Applications for the Self Select ISA will be rejected if this acknowledgement is not signed.

Applicant signature

Date

X

Investment Manager signature

Date

X

## Requesting e-Portfolio Access from UBS

To request that UBS provide you with access to e-Portfolio (a web-based tool provided by UBS which displays account information) in relation to Your Plan please complete and sign the following request form. By doing so You accept that the decision to use e-Portfolio, and the terms of such use, are a matter between You and UBS and accordingly IFDS FS shall have no responsibility or liability whatever in connection with the same.

I am an existing e-Portfolio User\*

\* Note: If you are an existing e-Portfolio User, the Access Agreement Form below still needs to be signed.

## e-Portfolio Access Agreement

Between:

(1) UBS AG acting through its London Branch at 1 Curzon Street, London W1J 5UB("UBS"); and

(2)

(the "User");

(together, the "Parties").

- (1) UBS has developed a user-ID, PIN code and encryption-protected website (the "Website"), for the purpose of providing to its clients information relating to their account(s) held with UBS and such other services as UBS may provide and its clients may accept from time to time (the "Information"); AND
- (2) Subject to the compliance by the User of the terms set out in this Agreement, UBS grants to the User and the User accepts, an express, non-exclusive, non-transferable royalty free licence to access and use the Website for the User's internal purposes only and UBS agrees to provide the Information to the User, on the terms and subject to the conditions set out in this Agreement.

### Terms

1. UBS will allocate a user-ID and PIN code to the User. UBS shall send to (at the address most recently provided to UBS by the User) or otherwise inform the User of its specific user-ID. UBS shall separately send to the User at its specified address a device which shall cyclically generate PIN codes specific to the User (the "Secur-ID"). The Secur-ID shall at all times remain the property of UBS and shall be returnable to UBS on demand.
2. UBS may provide replacement user-ID and/or Secur-ID at any time as it thinks fit. The User shall take all reasonable steps to protect the security of its user-ID's, the Secur-ID's and PIN codes and to prevent any other person from accessing the Website and/or the Information. For the avoidance of doubt, each user-ID and all PIN codes are strictly confidential to and shall only be used by the User and are not transferable. In the event that the User requests a replacement user-ID and/or Secur-ID, UBS will, within a commercially reasonable time, disable the user-ID and/or PIN code (as applicable) and issue to the User a replacement user-ID and/or Secur-ID (as applicable) to the appropriate address as specified in this Agreement or to such other address as UBS may be notified from time to time.
3. The User will comply at all times while he/she remains the User with all applicable laws, rules and regulations, the terms of this Agreement and any and all other terms and conditions in respect of use of the Website and the Information from time to time.
4. In the event that the User ceases to be authorised to access and use the Website in accordance with this Agreement, the User will notify UBS without delay and UBS will, within a commercially reasonable time, disable the user-ID and PIN code in relation to the User and so deny the User access to the Website and the Information.
5. The User acknowledges that the Website incorporates encryption technology, the technical specifications of which shall be available to the User upon written request. The User warrants that it is permitted under all relevant laws and regulations to access the Website and the Information in its encrypted format and agrees to comply with all export and/or import laws and restrictions and regulations of any and all agencies or authorities applicable to the User. UBS shall not be responsible for any breakdown of encryption or electronic transmission of information.

6. All title, ownership rights and intellectual property rights in or relating to the Website and the Information shall remain in UBS and nothing on the Website shall be construed as conferring any licence save as expressly set out in this Agreement of any of UBS's or any third party's intellectual property rights, whether by estoppel, implication or otherwise.
7. The User acknowledges that any and all Information provided to the User is for information purposes only and shall be regarded as indicative only. In particular the User acknowledges that the Information is not provided on a 'real-time basis' and, whilst it is the current intention of UBS to update the information at the end of each of UBS' previous working days, in certain circumstances this may not be possible and accordingly, no warranty is given by UBS as to the frequency of the updates of the Information. For any queries in this regard the User should contact his/her Client Adviser. UBS shall under no circumstances be held responsible for the accuracy and/or completeness of the Website and the Information. The Website and the Information is provided to the User on an "as is" and "as available basis" at the User's sole risk and without representations or warranties of any kind. UBS does not guarantee that the Website and/or the Information will be available to or accessible by the User. All warranties, conditions or terms (express or implied, statutory or otherwise including without limitation any warranty as to satisfactory quality, merchantability, fitness for a particular purpose and without any warranties or commitments that access or use will be uninterrupted or error free), other than those expressly set out in this Agreement, are expressly excluded. Further, UBS will have no liability for any loss and/or damage howsoever caused arising under or in connection with the User's use of or inability to access the Website and/or the Information, whether in contract, tort or otherwise save where otherwise prohibited by law and/or where such loss and/or damage is caused by the gross negligence, wilful default or fraud of UBS.
8. Without prejudice to any other provision herein, the User acknowledges that in the event that the Information includes details of the User's accounts, assets and/or investments booked to and/or held with a third party other than with UBS:
  - (a) the nature and content of any report, information and/or advice provided to the User by UBS will be dependent upon and reflect the completeness and accuracy of the information provided to it by the relevant third party or, where applicable, any such information provided by the User; and
  - (b) UBS shall have no duty to verify or check the information provided to it by the relevant third party and/or the User and UBS shall, in all circumstances, be entitled to rely on such information when providing the services contemplated herein.
9. UBS shall not be considered in breach of this Agreement in the event of any failure or delay for reasons not within UBS's reasonable control, including, without limitation, acts of nature, power failure, labour stoppage, sabotage, hacking, unrest or disputes, upgrading or servicing of the Website or updating of the Information, acts or omissions of the User or any third party including national and/or supranational government agencies or bodies and courts of law. UBS reserves the right to prohibit or restrict access to the Website and the Information (or part thereof), at any time and without notice, with absolute and sole discretion and without any obligation to give reasons for any such prohibitions and/or restrictions.
10. UBS is under no duty of inquiry regarding the capacity of any person using a correct user-ID and PIN code and UBS is entitled to treat any and all persons who input the correct user-ID and PIN code as duly authorised by the User to access the Website and the Information. UBS accepts no liability or responsibility to the User for any third party gaining access to the Website and/or the Information as a result of any act or omission by the User or otherwise.
11. The User is responsible for and must provide at its sole cost all software, telephone, Internet connectivity and other equipment necessary to access the Website (including an internet browser compatible with the Website) and any relevant licences and/or consents. Accordingly, the User agrees that, when using the Internet to connect to the Website, it will be using media and a physical network not controlled, maintained or provided by UBS and the User's attention is herewith expressly drawn to the possibility of the Information coming to the knowledge and/or attention of unauthorised third parties as a result of transmission to the User. UBS shall under no circumstances accept any liability for damage and/or loss suffered by the User as a result of unauthorised access, transmission error, technical malfunction, interruption, intervention or otherwise to the data transfer network and/or the Website and/or the Information (regardless of whether such intervention may be legal or otherwise).
12. The User agrees to indemnify UBS and its affiliates and its and their directors and employees against any liabilities, losses, expenses or other costs (including, but not limited to, legal fees and other fees whether incurred in relation to investigations or otherwise) arising out of or relating to any breach of this Agreement by the User.

13. UBS has the unconditional right at any time to charge the User a fee for access to the Information accessible pursuant to this Agreement. In that event, UBS shall inform the User of the fee and of the applicable amount not less than seven [7] days prior to levying the initial charge. The User may choose to relinquish access to the Website and the Information and terminate this Agreement by notice in writing to UBS at any time.
14. The User acknowledges that UBS may collect and maintain personal data in relation to and from the User (including information concerning access to, and use of the Website and the Information) and process such personal data in accordance with applicable data protection laws. The User consents to such collection and processing of his/her data. It is the User's duty to notify UBS of any changes to his/her personal data.
15. Both Parties may terminate this Agreement at any time by giving notice in writing to the other.
16. A person who is not a party to this Agreement may not enforce any of its terms under the Contracts (Rights of Third Parties) Act 1999.
17. If any provision of this Agreement is held by any competent authority to be invalid or unenforceable in whole or in part the validity of the other provisions of such conditions and the remainder of the provision in question shall remain unaffected.
18. The entire agreement between the User and UBS with regard to the access to and use of the Website and the Information is comprised of this Agreement, any additional terms and conditions governing access to specific areas of the Website and/or the Information which UBS may post on any part of the Website from time to time and, if applicable, the UBS's Terms and Conditions for Services (as amended from time to time) (the "Terms and Conditions"). If there is any conflict between this Agreement and the Terms and Conditions, this Agreement shall prevail.
19. This Agreement shall be governed by and construed in accordance with English law and the User hereby irrevocably submits to the non-exclusive jurisdiction of the English Courts in respect of any claim, dispute or difference which may arise out of, or in connection with such the subject matter of this Agreement (including without limitation, claims for set-off or counterclaim) and the legal relationships established by this Agreement.

Signed by the User:

Date:

Print Name:

**For Internal Use at UBS**

Signed for and on behalf of UBS AG:

Date:

Print Name:

Signed for and on behalf of UBS AG:

Date:

Print Name: