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# TRANSFER AUTHORITY AND TRANSFER HISTORY FORM

STOCKS AND SHARES INDIVIDUAL SAVINGS ACCOUNTS



## INSTRUCTION TO THE ISA HOLDER

Please complete all sections excluding page 7 and return to:

**EdenTree Investment Management Limited, Sunderland SR43 4AU**

- (i) You must use a new ISA transfer authority form for each existing plan manager from whom you are transferring to an EdenTree Investment Management ISA
- (ii) You can use this form only to transfer a stocks and shares ISA to an EdenTree Investment Management Stocks and Shares ISA. The holdings within your existing ISA will be sold and the proceeds will be transferred for investment, without loss of ISA status
- (iii) If you wish to transfer your cash ISA to an EdenTree Investment Management Stocks and Shares ISA you will need to contact us for a cash ISA transfer authority form
- (iv) If you wish to make subscriptions to this ISA in the current tax year you will need to contact us for an ISA application form

Please note that we will arrange the transfer of your ISA directly with your existing ISA manager, who will require the details provided.

**Please do not send this form to your existing ISA manager.**

### PERSONAL DETAILS To be filled in by the ISA holder

Title (Mr/Mrs/Miss/Ms/Dr/Revd/Other)

Surname

Forename(s)

Date of birth

National Insurance number

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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If you do not have a National Insurance number, tick here

Permanent residential address

Postcode

Telephone

Email

Existing EdenTree Investment Management ISA account number (if applicable)

## INVESTMENT SPLIT

Please tell us how you would like your transfer monies to be split

Minimum lump sum investment £1,000 per fund

### Fund

### Percentage

EdenTree European Equity Fund	%
EdenTree Global Equity Fund	%
EdenTree Sterling Bond Fund	%
EdenTree UK Equity Fund	%
EdenTree Managed Income Fund	%
EdenTree UK Equity Opportunities Fund	%
<b>Total investment</b>	<b>100 %</b>

## ISA MANAGER DETAILS

Company name

Address

Postcode

ISA name and reference no

eg XYZ Stockbroker ISA 123456

ISA year(s) you wish to transfer

eg '2010' or 'all'

## INSTRUCTION TO THE EXISTING ISA MANAGER

Please complete all sections of the transfer history form on page 7, ensuring that you give us the customer's full name, account number, date of birth and National Insurance number.

Once complete return to us together with the proceeds cheque made payable to "EdenTree Investment Management Limited" and send to: **EdenTree Investment Management Limited, Sunderland SR43 4AU**

I hereby authorise you to redeem all plan investments of the above ISA(s) and transfer the proceeds of each to EdenTree Investment Management Limited and forward any outstanding dividends and tax credits when received. I also authorise you to provide EdenTree Investment Management Limited with any information it requires and accept from it any instruction regarding the above ISA.

Signature

Date

## DECLARATION

- I agree to be bound by the Terms and Conditions, and the requirements of HM Revenue & Customs relating to ISA schemes. All subscriptions made, and to be made, belong to me.
- 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 a person who performs such duties. I will inform EdenTree Investment Management if I cease to be so resident or to perform such duties or to be married to a person who performs such duties.
- I authorise EdenTree Investment Management and its agents to (i) hold my ISA investments, dividends and any other rights or proceeds in respect of those investments (ii) make on my behalf any claims to relief from tax in respect of ISA investments and (iii) on my written request to transfer or pay me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investment.
- I declare that this application form has been completed to the best of my knowledge and belief.
- I agree to EdenTree Investment Management Ltd's ISA Terms and Conditions.
- I confirm that I have read and understood the EdenTree Investment Management Terms and Conditions, the Supplementary Information Document and the latest available Key Investor Information Document(s) for the fund(s) and share class(es) in which I am investing.
- I have read and understood the Prospectus, and consent to the ACD applying the Delivery Versus Payment Exemption (as set out in the Prospectus) which means that FCA client money rules do not apply to subscription/redemption monies received/paid to settle transactions for the first day following receipt.
- I have read and understood the information relating to General Data Protection Regulation.

### Stocks and Shares ISA declaration

I declare that I have not and will not subscribe to another stocks and shares ISA for the same tax year that I subscribe to this stocks and shares ISA. 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 and shares ISA in the same tax year.

Signature

Date

## IMPORTANT INFORMATION

### Data Protection Act

EdenTree Investment Management will always act responsibly with your personal data. By submitting your personal details you consent to us using this information in the ways described in our Privacy Policy.

Our Privacy Policy can be found at [www.edentreeim.com](http://www.edentreeim.com) or can be requested by writing to us at Sunderland SR43 4AU.

### Personal Data

EdenTree as data controller, will use your name, address, date of birth, contact information, payment details for dividend and redemption proceeds and tax residency information to open and service your EdenTree Investment Management Account. Your personal details are also used to meet regulatory requirements such as Anti Money Laundering obligations and US FATCA, the OECD CRS and UK tax regulations.

EdenTree Investment Management have delegated administration of your investment account to Northern Trust Global Services Limited (the "Administrator") who are responsible for processing your personal information. Your personal information will be processed by them (or may be processed by any of their affiliates, agents, employees, delegates or sub-contractors) for the purposes of account opening and maintaining your investment account.

### Recipients of Data and International Transfer of Data

The disclosure of personal information to the Administrator may involve the transfer of your data to the USA and other jurisdictions outside the European Economic Area (EEA) in accordance with the requirements of the General Data Protection Regulation. Such countries may not have the same data protection laws as your jurisdiction. EdenTree has authorised the Administrator to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred.

### Retention period

We will retain your personal information for as long as required for us to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate that the Fund retains your personal information.

### Data Subject Rights

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information.
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).
- Rights re automated decision making

Where EdenTree requires your personal information to comply with AML or other legal requirements, failure to provide this information means that EdenTree may not be able to accept you as an investor in the Fund.

You have the right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by EdenTree or its service providers infringes the General Data Protection Regulation.

### How to contact us

If you have any questions about our use of your personal information, please contact Simon Arundel, Data Protection Officer at [compliance@edentreeim.com](mailto:compliance@edentreeim.com)

### Electronic Verification

The Manager is bound by law to abide by the money laundering legislation and to verify the identity of investors. This verification usually happens when an investment is made or units are transferred. It may also be required at other times whilst the investment is held. Verification will also be required for any third party making payments. If you are investing through an adviser, part of their duty will be to provide us with verification of your identity. Verification of identity may be achieved through the use of a credit reference agency which may keep a record of this information however this is only to verify your identity and will not affect your credit record. In some circumstances the Manager may require independent evidence of your identity and permanent address. If the Manager does not receive acceptable evidence it reserves the right to delay or reject your application or withhold payment of the proceeds of redemption and income on units until verification has satisfactorily been completed.

### Documents for Verification of Identity

If your financial adviser is not providing an Identity Verification Certificate (IVC), certified<sup>1</sup> photocopies of two identification documents must be sent; one to verify residency and one to verify identity. Appropriate documents include a valid Passport, Driving Licence, National Identity Card, Firearms Certificate or Shotgun Licence and Identity Card issued by the Electoral Office for Northern Ireland.

**Please now send this form back to us.**

**We will send the form on to your existing ISA manager to request the cheque.**

1. For certification requirements please refer to the main application form.

## INVESTMENT ADVICE AND ADVISER/AGENT DETAILS

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Please use the tick boxes provided to indicate whether you have received advice from a financial adviser on this investment and provide their details.

I have received advice from the following adviser

Company name

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Address

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Postcode

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I have not received advice from a financial adviser

## TO BE COMPLETED BY YOUR FINANCIAL ADVISER/AGENT

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FCA code

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Contact name

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Telephone

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Email

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Discount (if applicable)

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**For Execution Only Advice or other eligible entities post RDR**

Commission terms (if applicable)

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If commission is to be paid, please tick this box to confirm this investment is eligible

Please remember to include an Identity Verification Certificate (IVC)

# STOCKS AND SHARES TRANSFER HISTORY FORM

To be filled in and returned by the existing ISA manager

## PERSONAL DETAILS OF INVESTOR

Title (Mr/Mrs/Miss/Ms/Dr/Revd/Other)

Surname

Forename(s)

Date of birth

National Insurance number

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Permanent residential address

Postcode

Telephone

Email

## ISA DETAILS

Account number

Type of ISA

Insert 'A' in the box on the right, if current year subscriptions to a stocks and shares ISA are being transferred and 'X' if only previous years' subscriptions are being transferred

Total amount subscribed in current tax year

£

Date of transfer

Date of first subscription in current tax year

Total amount transferred

£

## DECLARATION

I declare that:

- I have fulfilled all the obligations imposed on me by the ISA Regulations.
- I have transferred to you or your nominee any ISA investments that are being transferred by virtue of the transfer of this ISA and, if appropriate, I have taken the necessary steps to ensure that the ISA investments can be registered in your name or the name of your nominee.
- The information supplied with this notice is correct.

Signature

Date

For and on behalf of

For help completing the form or for further information on any of our products, call us on

**0800 358 3010**

Monday to Friday 9am to 5pm.

We may monitor or record calls to improve our service.

You can email us at

**[investmentadmin@edentreeim.com](mailto:investmentadmin@edentreeim.com)**

Or visit us at

**[www.edentreeim.com](http://www.edentreeim.com)**

Support for financial advisers

Dealing and administration:

**0800 358 3010**

Sales support:

**0800 011 3821**

Or visit us at

**[www.edentreeim.com/literature](http://www.edentreeim.com/literature)**

