



If you have any questions, please call your Client Services Team on

**08000 326 323**

# Stocks & Shares ISA

## Transfer In request form

### Section A - Instructions to Alliance Trust Savings

Please use this form if you wish to transfer either a Cash ISA or another Stocks and Shares ISA into an Alliance Trust Savings Stocks and Shares ISA.

Please complete both sections A and B and return to Alliance Trust Savings Limited. Please complete in block capitals and black ink.

#### 1 Transfer details

If you do not already have a Stocks and Shares ISA you must complete an application form. If you require an application form please contact your Client Services Team on 08000 326 323 or download one from the Literature Centre at [www.alliancetrust.co.uk](http://www.alliancetrust.co.uk)

If you are already an Alliance Trust Savings client please provide your Client Reference Number

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Please accept the transfer of the following ISA to be held in an Alliance Trust Savings Stocks and Shares ISA.

Name of your current ISA manager

#### 2 Investment instructions

If you have not yet decided which investments you would like to make you may leave this section blank. Your cash will be placed on deposit when it is received from the other manager and until we receive instructions from you.

You will find information on available investments in the Literature Centre at [www.alliancetrust.co.uk](http://www.alliancetrust.co.uk) or by calling your Client Services Team on 08000 326 323 to request a list of available investments.

Investment <sup>1</sup>		Amount or percentage of cash	Income options <sup>2</sup>	
Name (inc.class)	TIDM code		Name (inc.class)	TIDM code
<b>Total</b>		<b>£</b>		<b>%</b>

I wish to have income paid to me from some or all of the above investments. Please send me the appropriate form to set this up if not already in place. (Please tick)

## 2 Investment instructions (continued)



### 1 Investment

Enter the full name and class of each investment you wish to make. This is important as there may be different classes available.

Please also quote the TIDM code which you can find in the Investment Choice Booklet available within the Literature Centre at [www.alliancetrust.co.uk](http://www.alliancetrust.co.uk).

To allocate your cash to your Deposit Account or Online Dealing Account, enter 'deposit' or 'online'.

### 2 Income options

Any income received from each investment will automatically be used to purchase more of the same investment when your Minimum Purchase Level (see below) is reached, or you may, if you wish to:

- use it to purchase another investment - enter name and TIDM code
- direct it to your Deposit Account - enter 'deposit'
- direct it to your Online Dealing Account - enter 'online'
- have income paid to your bank account - enter 'cash'.

### 3 How we will place your order

We will carry out your investment instructions once your Account is opened.

We may buy your investments for you along with other client instructions as part of the same deal. We will take all reasonable steps to ensure that the purchase is dealt on the best terms generally available in the market for transactions of a similar size and nature at the time of execution, as described in our Order Handling Policy. This may sometimes work to your advantage or disadvantage.

### Minimum Purchase Levels

When cash in your Security Account reaches the Minimum Purchase Level we will automatically purchase more of the same investments for you. The default level is £100 but if you wish to select a different amount please tick below. The level you select will apply to all investments in your Stocks and Shares ISA. You can change the levels at any time by completing a Stocks and Shares ISA Instruction form.

£150       £300       £500

### Purchasing Funds

If you wish to invest in a fund (an OEIC or unit trust) you must confirm that you have read the Guide to Funds and relevant Simplified Prospectus and that you are not a U.S. person. Please tick both boxes below.

I confirm that I have read the Guide to Funds and relevant Simplified Prospectus. (These are available in the Literature Centre at [www.alliancetrust.co.uk](http://www.alliancetrust.co.uk) or by calling us on 08000 326 323).

and

I am not a U.S. person

## 3 Declaration by Alliance Trust Savings



We declare to you that:

- The declarations made to you at the time of your application for a Stocks and Shares ISA remain true and valid
- If we accept the transfers from the transferring ISA Manager, we will apply the transferred assets to your Stocks and Shares ISA as instructed by you in this transfer request form to be held under the terms of that Stocks and Shares ISA
- Your Stocks and Shares ISA and your rights under it will be governed by the details on your application as accepted by us, and by our Terms and Conditions and documents referred to in it (the "Governing Documents") as amended by us from time to time

## 4 Declaration to Alliance Trust Savings and Signature



- I declare that the declarations made to you in my application for my Stocks and Shares ISA are still true and apply to the transfer described in this transfer in request
- I authorise you to create additional Accounts for me as appropriate for the delivery of Services or receiving payments using the details contained in my application, as updated by me as appropriate
- I acknowledge that there may be circumstances in which my requested transfer cannot proceed, in which case I withdraw my request and agree that the assets to be transferred will remain with my current ISA manager
- By completing this transfer in request I instruct you to hold the transferred assets in my Stocks and Shares ISA Account with you

It is a serious offence to make any false statements and to do so can lead to prosecution.

Signature

Date

DD	MM	YYYY
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## 5 ISA Statement



Please ensure you enclose a recent statement for the ISA you are transferring. Please tick to confirm you have enclosed a statement.

Please now complete Section B.



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# Stocks & Shares ISA

Transfer In request form

## Section B - Instructions to the manager of the ISA you are transferring

Section A has been retained by Alliance Trust Savings

Please complete in block capitals and black ink and return to Alliance Trust Savings Limited.

### 1 Instructions to the ISA manager of the ISA you are transferring to Alliance Trust Savings

To: (ISA Manager)

Name

Address

  
  
  


Postcode

From: (client)

Name

Address

  
  
  


Postcode

### 2 Transfer details

I wish to transfer the following ISA to Alliance Trust Savings Limited (HM Revenue & Customs reference Z1155)

ISA Account  
number

ISA type (Please tick)

Cash ISA  
(Go to  
section 3)

Stocks and  
Shares ISA  
(Go to section 4)

Are you transferring current tax  
year subscriptions (Please tick)

Yes

No

Current tax year ISA subscriptions can only be transferred in  
their entirety.

### 3 Transferring a Cash ISA

Please complete this section if you are transferring a Cash ISA to Alliance Trust Savings Limited.

I wish to transfer my Cash ISA in  
(Please tick)

Full

OR

Part

If you are transferring only part of your Cash  
ISA please enter the amount to be transferred

£

Now sign and date in section 5

## 4 Transferring a Stocks and Shares ISA



Please complete this section if you are transferring a Stocks and Shares ISA to Alliance Trust Savings.

I wish to transfer my Stocks and Shares ISA in (Please tick) Full  (Go to section A) OR Part  (Go to section B)

Please now complete the appropriate section below.

### A Transfer my ISA in full

Please indicate by ticking one of the boxes below how you wish to transfer your Stocks and Shares ISA to Alliance Trust Savings.

Cash only (Please tick)  Please sell all investments and transfer in cash.  
Please now sign and date section 5

You are not required to complete the rest of this section.

Investments and Cash (Please tick)

Please now complete the table below.

Please transfer the following investments and refer to the letter from Alliance Trust Savings for registration details for the investments to be transferred. Please sell all other investments in my ISA and send a cheque representing the net sale proceeds to Alliance Trust Savings. Cheques should be made payable to Alliance Trust Savings Limited.

Investments to be transferred

If you are unable to carry out my instructions as detailed above:

Transfer in cash (Please tick)  OR Return this instruction to Alliance Trust Savings (Please tick)

Now sign and date section 5

### B Transfer only part of my ISA

Please indicate by ticking one of the boxes below how you wish to transfer your Stocks and Shares ISA to Alliance Trust Savings.

Cash only (Please tick)  Amount to be transferred (This is the approximate value and will depend on share prices at the time of sale). £

Please list the investments you wish to sell in order to raise the cash.

Investments to be sold	Please write number of shares or 'all' if you wish to sell your total holding

Now sign and date section 5

**Investments and Cash**

(Please tick)

**Amount of cash to be transferred** (if any)

£

**Please now complete the table below.**

Please transfer the following investments and refer to the letter from Alliance Trust Savings for registration details for the investments to be transferred.

Investments to be transferred	Please write number of shares or 'all' if you wish to transfer your total holding

**If you are unable to carry out my instructions as detailed above:**

Transfer in cash (Please tick)

**OR**

Return this instruction to Alliance Trust Savings (Please tick)

**Now sign and date Section 5****5 Signature****Signature****Date**

DD	MM	YYYY
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**Instructions to current ISA manager****Please:**

1. Write to Alliance Trust Savings and to me informing us that you have received these instructions and are processing them.
2. Supply Alliance Trust Savings with any information it requires about my ISA and comply with instructions given to you by Alliance Trust Savings regarding this transfer.
3. Send a closing statement of my ISA to Alliance Trust Savings and to me.

**Important information**

Your current manager may impose exit charges and other costs associated with the transfer and you should assess the total charges you would incur prior to instructing any transfer. Some managers may only allow you to transfer your ISA in the form of cash and you should ascertain whether this would apply as you may suffer losses as a result of buying back the investments sold.

Before instructing any transfer you should examine all costs associated with the operation of your ISA. Certain elements of our products may be priced differently to those of your current ISA manager.

Transfers between managers may take several weeks to complete and you may be unable to deal for a period whilst the transfer is pending. You should be aware that there is potential for a loss of income or growth following changes in market conditions whilst the transfer is being completed.



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ALLIANCE TRUST ASSET MANAGEMENT

ALLIANCE TRUST PLC

ALLIANCE TRUST SAVINGS

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