



DISCRETIONARY ISA TRANSFER AUTHORITY FORM FOR THE CLIENTS OF INTERMEDIARIES

Personal Details

Title and Surname

First Name(s)

Permanent Residential
Address

Postcode

Daytime Telephone

HMRC Requirements

Tick here if you do **not** have a National Insurance (NI) number:

This section must be completed before the transaction is enacted.

Date of Birth

National Insurance Number

You should be able to find your NI number on a payslip, form P45 or P60, a letter from HM Revenue & Customs (HMRC), a letter from the Department of Work and Pensions (DWP), or pension order book.

Existing ISA Manager Details

Name and address of
ISA Manager in full

Postcode

Telephone Number

ISA Transfer Details

I wish to apply to transfer my existing ISA(s) to RBC Brewin Dolphin. I request that you provide them with details of my ISA(s) and authorise you to transfer the securities within my ISA(s) in accordance with instructions given by RBC Brewin Dolphin:

Type of ISA Cash ISA Stocks and Shares ISA (Please note that a Stocks and Shares ISA cannot be transferred to a Cash ISA)

Current Tax Year Reference Number

Previous Tax Year(s) Reference Number

Partial Transfer Yes No If Yes, please state percentage or amount: % or £

Please provide further instructions if necessary:

The transfer is to be made in the form of * Cash Only Cash & Shares/Units**

* Please note that your existing ISA Manager may charge you to transfer. Your existing ISA Manager may require that your holdings are sold and the transfer is made in cash. If this is the case there may be a period of time when you are not invested. Should you wish to clarify either of these points, you should contact your existing ISA Manager.

** To the existing account manager: If the client has ticked the Cash & Shares/Units box and you do not transfer in specie then please transfer the account in cash.

Dividend Income

Would you like accumulated dividend income:

Held on deposit, to be re-invested Paid into your bank/building society: Monthly Quarterly
(Any cash may only be held on deposit pending investment) (Please provide bank details below)

Bank Details

Name and Address of Bank/
Building Society

Account Title

Sort Code

Account No.

Building Society Roll No.

If you are an existing Investor, would you like your ISA managed in conjunction with your main portfolio, with the same investment criteria as specified on your signed Account Opening Form?

Yes No

If you are an existing Investor, please provide your Account Number:

If no, please complete the next section. If any other details or circumstances have changed, please notify your Investment Manager.

Please indicate below which Risk Category you have agreed to for your account.

Please complete this section if you are a new Investor, or wish to amend any details.

Risk Category
Intermediary 1

Risk Category
Intermediary 5

Risk Category
Intermediary 2

Risk Category
Intermediary 6

Risk Category
Intermediary 3

Risk Category
Intermediary 7

Risk Category
Intermediary 4

Please refer to our Retail Terms and Conditions for Clients of Financial Advisers and the associated Risk Guide for further information.

Investment Restrictions

Please state any restrictions you wish to place on your portfolio

Declaration and Authority

I declare that:

- 1) I am 18 years of age or over;
- 2) I consent to the Order Execution Policy;
- 3) I have not and will not subscribe more than the overall subscription limit in total to any combination of permitted ISAs in the same tax year;
- 4) Any subscriptions that I have previously made are beneficially my own and are delivered free of all liens, charges, encumbrances and third party interests of any kind;
- 5) I am a 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 and Pensions) Act 2003 (Crown employees serving overseas), are treated as being duties performed in the UK, or I am married to, or in a civil partnership, with a person who performs such duties. I will inform RBC Brewin Dolphin 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;
- 6) I have received RBC Brewin Dolphin's ISA documentation which includes the standard terms and conditions governing the ISA services to be provided to me (as set out in the Retail Terms and Conditions for the Clients of Financial Advisers (together with the applicable rate card)) and I agree to them;
- 7) The information that I have given on this form is complete and correct to the best of my knowledge, and I will inform RBC Brewin Dolphin without delay of any change in my circumstances affecting any of the said information;
- 8) I will be the beneficial owner of the shares and units held in my ISA Account; and
- 9) I understand that my existing ISA manager may charge me to transfer. My existing ISA manager may require that my holdings are sold and the transfer is made in cash. If this is the case there may be a period of time when I am not invested.

I authorise RBC Brewin Dolphin:

- 1) to hold my cash subscription, ISA investments, interest, dividends and any other rights to proceeds in respect of those investments and any other cash;
- 2) to make on my behalf any claims to relief from tax in respect of ISA investments; and
- 3) on my written request, to transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

You should read carefully the above declaration and authority before you sign this form. If there is anything you do not understand, you should request further information. By signing below, you confirm both the declaration and authority.

Signed (upload your electronic signature here

Alternatively type in your name to confirm your signature

Date

Use of Personal Information

We will treat all personal information obtained from you in accordance with Data Protection Laws. For further information about the ways in which we may use your personal information, please refer to our Retail Terms and Conditions for Clients of Financial Advisers.

For Office Use Only:

Parent Key		Commission Rule
PRC		Intermediary Code
Office Code		
Subfund/Rate Card		ISA Code
Address Codes	Correspondence	Registration
Name Codes	Correspondence	Registration

RBC Brewin Dolphin is a trading name of Brewin Dolphin Limited. Brewin Dolphin Limited is authorised and regulated by the Financial Conduct Authority (Financial Services Register reference number 124444) and regulated in Jersey by the Financial Services Commission. Registered Office; 12 Smithfield Street, London, EC1A 9BD. Registered in England and Wales company number: 2135876. VAT number: GB 690 8994 69