

# ISA Transfer Authority form



Brewin  
Dolphin

## Client details

Client name

Client reference

## Permanent residential address

Address Line 1

Address Line 2

Address Line 3

City

County

Country

Postcode

## HMRC requirements

Are you eligible for a National Insurance Number? Yes No

You must provide a National Insurance number to apply for an ISA unless you are not eligible for one

**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), online in your HMRC account or app, at [www.gov.uk/find-national-insurance-number](http://www.gov.uk/find-national-insurance-number), or pension order book.

## Existing ISA manager details

Name of ISA Manager

Address Line 1

Address Line 2

City

County

Country

Post code

Telephone number

Type of ISA	Cash ISA	Stocks and Shares ISA
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Current and previous tax years	Current tax year only	Previous tax years only
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Partial Transfer	Yes	No	If Yes, please state percentage or amount:	% or	£
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The transfer is to be made in the form of \* Cash Only      Cash & Shares/Units\*\*

**\*\* 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.**

## Declaration & acceptance of terms

You will have received our Retail Client Terms & Conditions which detail our:

- Order Execution Policy
- Conflicts of Interest Policy.

We strongly believe that it is in your interests that you accept our Order Execution Policy as it enables us to get the best outcome for you and we may be unable to open an account if you do not consent to the Order Execution Policy. We would ask that you provide express consent to the Order Execution Policy as set out in the Retail Terms & Conditions by signing the declaration in the section below.

The information given in this form will be handled in accordance with the provisions of all applicable data protection laws and regulations from time to time in force (“Data Protection Laws”), relating to data protection, privacy and the processing of personal data, including the General Data Protection Regulation (Regulation (EU) 2016/679) (“GDPR”) which governs how we may use your personal information and provides you with certain rights in respect of your information. As a data controller, RBC Brewin Dolphin is registered with the Information Commissioners Office (“ICO”) and RBC Brewin Dolphin has the obligation to notify the ICO the purposes for which it processes personal information. You can access RBC Brewin Dolphin’s register entry via the ICO’s website: [www.ico.org.uk](http://www.ico.org.uk). You can also refer to our Retail Client Terms & Conditions or read our privacy notice which is available at [www.brewin.co.uk/privacynotice](http://www.brewin.co.uk/privacynotice).

## Declaration by Client(s)

### I declare that:

1. I am 18 years of age or over and I consent to the Order Execution Policy;
2. All subscriptions made, and to be made, to the account are beneficially my own;
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. I have received RBC Brewin Dolphin's ISA documentation which includes the ISA Supplementary Terms and Conditions governing the ISA services to be provided to me and the Retail Client Terms and Conditions (together with the applicable Rate Card) and I agree to them;
5. 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;
6. I will be the beneficial owner of the shares and units held in my Account; and
7. 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.
8. I am aware that if I have taken flexible withdrawals from my ISA in excess of my current years subscriptions, the ability to return these may be lost on transfer.

### 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.

**Before signing this application form make sure that you have read carefully RBC Brewin Dolphin's ISA documentation and the above declaration and authority. If there is anything you do not understand or if you have any questions, please discuss it with your Investment Manager or Financial Planner and seek clarification before signing. By signing below, you confirm both the declaration and authority.**

Signed

Date

### Use of Personal Information

We will treat all personal information obtained from you in accordance with applicable legislation governing the use of such information, including the General Data Protection Regulation (Regulation (EU) 2016/679). For further information about the ways in which we may use your personal information, please refer to our Retail Client Terms and Conditions.

## How would you like us to contact you?

We would like to keep you updated about the products and services we provide at RBC Brewin Dolphin and think will be of interest to you. From time to time we may also invite you to join us at events that we think you will enjoy. Using the form below, please select the communications you would like to receive from us.

### I would like to receive communications regarding:

#### Products and Services

Information about RBC Brewin Dolphin and our products and services, including articles and publications which provide viewpoints on a wide range of thought-provoking topics.\*

I agree to receive these communications by ☐ Email ☐ Post ☐ Telephone ☐ Text

#### Events

Invitations to RBC Brewin Dolphin's events, conferences, seminars and networking opportunities.

I agree to receive these invitations by ☐ Email ☐ Post ☐ Telephone ☐ Text

### I do not wish to receive any of these communications or invitations from RBC Brewin Dolphin

If you would like to receive communications as outlined above, please complete the relevant details in block capitals:

Title	Address Line 1
First Name	Address Line 2
Last Name	Address Line 3
Email Address	City
Phone No.	County
Mobile No.	Postcode
	Country

\* Please note that existing clients may already receive some of this material as part of our standard service offering.

We respect your privacy and take protecting it very seriously. We will only use your data in accordance with your preferences and as set out in our Privacy Notice, which can be found on our website [www.brewin.co.uk](http://www.brewin.co.uk).

You can change your preferences at any time by contacting your usual contact at RBC Brewin Dolphin by phone, post or email. Please allow 14 days from receipt of your information for any changes to be reflected across our systems.