

PLEASE NOTE THAT THIS FORM IS FOR UK APPLICANTS ONLY. Please use **BLACK INK** and complete the form in **BLOCK CAPITALS**.

Defined terms have the meaning set out in the Key Terms section in the brochure and also the Terms and Conditions of the Plan. If you have any questions regarding the Plan or the Terms and Conditions, please speak with your financial adviser or intermediary. Once you have completed and signed the Application Form, please return it to your financial adviser or intermediary who will send it to: Target Servicing Limited, PO Box 900, Newport, NP20 9NN.

To invest in our plans, you must have spoken to a financial adviser or intermediary who has assessed this plan as being suitable or appropriate for you.

SECTION 1: YOUR DETAILS

Title: _____ Surname: _____

Full forenames: _____

Date of birth: _____ D D / M M / Y Y Y Y

Nationality: _____

Country/place of birth: _____

Permanent home/residential address: _____

Postcode: _____

Country: _____

Phone number (day): _____

Email address: _____

National Insurance (NI) number: _____ A A n n n n n n A

If you do not have a National Insurance number, please tick here: **NO**

You should be able to find your National Insurance Number on a payslip, form P45 or P60, a letter from HM Revenue and Customs, a letter from the Department for Work and Pensions (DWP), or pension order book.

Are you a US citizen? **YES** **NO**

Are you resident in the UK for tax purposes? **YES** **NO**

Are you resident for tax purposes in any other country? **YES** **NO**

If Yes, please provide details of the country(ies) and tax reference(s): _____

SECTION 2: INVESTMENT DETAILS

I apply to transfer the following amount from an existing ISA(s):

Minimum investment is £5,000 and maximum £1,000,000, subject to any deduction of fees where relevant.

**A: FTSE® 100 KICK OUT DEPOSIT PLAN 3
MARCH 2016**

Amount: £

Please also complete the Existing ISA Transfer Request Form in Section 7A and 7B.

SECTION 3: ADVISER OR INTERMEDIARY FEES

You may incur fees for the services you receive from your financial adviser or intermediary. Your financial adviser or intermediary will explain how much this will cost and you must agree how you will pay for it before making the investment.

This could be a set fee you pay upfront or alternatively it can be deducted from your initial investment.

Please confirm what you have agreed with your financial adviser or intermediary in relation to the payment of adviser or intermediary fees.

A: I have settled the fees directly with my adviser/intermediary

B: Please pay fees to my adviser/intermediary (named in Section 6)

Amount to be paid (as £ or %): £ %

Please sign to confirm payment of fees

Signed: _____

SECTION 4: IS THIS PRODUCT RIGHT FOR YOU?

Please answer the following questions:

A: Is your reason for buying this product to achieve a growth return on your investment? YES NO

B: Do you understand that in the worst case scenario you could receive no return, and earn less than you could have earned in a fixed rate bond? YES NO

C: Are you comfortable that your investment return is linked to the performance of the FTSE® 100? YES NO

D: Are you prepared to commit your money in the product for up to six years? YES NO

E: Do you understand that if the FTSE® 100 performs in a certain way, the product may 'kick out', meaning it matures earlier than six years? YES NO

F: Do you understand that the product has a fixed potential return and you would miss out if the FTSE® 100 increases by more than this return? YES NO

If you have answered 'No' to any of the questions above, please reconsider whether you wish to proceed with this application and be aware that if you do proceed, we may contact you or your financial intermediary to confirm that you are confident that this is the right investment product for you.

SECTION 5: DECLARATION AND AUTHORITY

I declare that:

- ✦ 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 the overall subscription limit in total to a Cash ISA or a Stocks and Shares ISA, and (from 6th April 2016) an innovative finance ISA in the same tax year.
- ✦ I have not subscribed, and will not subscribe, to another Cash ISA in the same tax year that I subscribe to this Cash 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, am married to, or in a civil partnership with, a person who performs such duties. I will inform Target Servicing Limited if I cease to be so resident or ordinarily resident or to perform such duties, or to be married to, or in a civil partnership with, a person who performs such duties.
- ✦ I instruct my existing ISA Manager to sell my existing ISA assets in accordance with the ISA transfer request form(s), and transfer the amounts released to Target Servicing Limited to invest in this Plan.
- ✦ I am neither in the United States of America or a U.S. person (as defined in Regulation S under the U.S. Securities Act of 1933, as amended, or as defined in the U.S. Internal Revenue Code of 1986, as amended) and that I am not acting for or will not act for or on the behalf of any U.S. person or U.S. resident to acquire securities in the Plan.
- ✦ I am not resident for tax purposes in any jurisdiction other than the UK. I agree to promptly provide any additional documentary evidence that Target Servicing Limited may reasonably request to ascertain or confirm my eligibility.
- ✦ I declare that if there is a change in my eligibility to invest in the Plan, such as a change in our tax status or residency or anything that makes the declarations on my Application Form invalid, I will notify Target Servicing Limited immediately. In such circumstances, or if Target Servicing Limited has reasonable grounds to believe that there has been a change in my eligibility to invest in the Plan, I understand that my investment in the Plan may be closed with immediate effect, in accordance with the termination provisions set out in clause 13 of the Plan's terms and conditions.
- ✦ I have agreed the amount of any Adviser Charges for this investment as shown in Section 3 and note that the agreed terms will be confirmed to me by you on acceptance of such instruction.
- ✦ I understand that neither Hartmoor Financial nor Target Servicing Limited provide investment advice.
- ✦ I confirm that I have received advice on this investment from a financial adviser or that the appropriateness of the Plan has been assessed by a financial adviser or intermediary.
- ✦ I declare that all information provided on this form is, to the best of my knowledge and belief, true and correct and that I will inform nor Target Servicing Limited within 30 days of any change in my circumstances affecting any of the information contained within.
- ✦ I accept the Terms and Conditions.

..continues overleaf

SECTION 5: DECLARATION AND AUTHORITY (continued)

I authorise Target Servicing Limited:

- ♦ To hold my cash subscription, Direct Investment, ISA investments, interest, dividend and other rights or proceeds in respect of this investment and any cash or other proceeds.
- ♦ To make on my behalf any claims to relief from tax in respect of ISA investments.
- ♦ To send annual statements and updates as appropriate to the address as specified in Section 1 (or any other address that I inform Target Servicing Limited about if my residential address changes).

This is a standard agreement upon which Target Servicing Limited intend to rely. I understand that the Brochure, including the Terms and Conditions are the agreement under which my investment will be managed. I understand that for my own protection that I should read the Brochure and Terms and Conditions carefully before signing and that I should ask for any further information if I am unclear about any aspect. I also agree to provide further information to Target Servicing Limited if requested for the purposes of processing this application or managing my investment in the Plan.

Applicant Signature: _____

Date: _____

Please Note: When you have completed and signed this application form, please return it with a photocopy of your passport to your financial adviser or intermediary.

Data Protection Act 1998 and how we use your information: Target Servicing Limited is committed to processing your data in accordance with the Data Protection Act of 1998. Information held by us will be used to provide services to you, including managing your account(s), to make decisions, to detect and prevent fraud and to ensure that we comply with legal and regulatory requirements.

This information may be passed to other members of the Target Group for their use, including identifying other products and services which may be of interest to you.

Please tick here if you do not wish such information to be divulged, we will have your details removed from our mailing list.

All personal clients have the right to access their personal records which are held by Target Servicing Limited. Such records may be viewed by the client subject to the payment of a fee in accordance with the Data Protection Act.

INVESTOR CHECKLIST

Before returning this application form to your financial adviser or intermediary, please check that:

- You have completed all relevant sections of the form, including giving us your date of birth and National Insurance number
- You have advised us of any fees that you wish us to pay a financial adviser or intermediary on your behalf
- You have signed the application form
- You have read and understood the Plan brochure, and accept the Terms and Conditions
- You have read our Information Sheet and Exclusions List on FSCS Protection, available at www.hartmoorfinancial.co.uk

SHARE YOUR FEEDBACK (OPTIONAL)

It is very important to us that we are designing products that meet genuine investment needs. To help us achieve this, we would appreciate your time to fill in the questions below to help us understand what we need to focus on in the future. Please note that we will use any responses that you provide for the purpose of helping us design better products for you.

Not including the product you are applying for on this form, are you looking for?

- Products that offer regular income payments
- Products that offer the chance for higher, non-guaranteed returns
- Products that offer capital growth at maturity
- Any of the above/I have no preference
- Products offering a higher return than fixed rate bonds
- None of the above

Would you be interested in an investment linked to?

- Inflation
- The housing market
- FTSE® 100
- Other equities, indices or shares
- Something else: _____

Thank you very much for answering these questions, your feedback is very important to us.

SECTION 6: FOR FINANCIAL ADVISER/INTERMEDIARY USE ONLY

Name of Financial Adviser or Intermediary/Registered Individual: _____

Company name: _____

Company address: _____

Postcode: _____

Country: _____

Phone number: _____

Email address: _____

What service have you offered your client in relation to this Plan? **FINANCIAL ADVICE** **EXECUTION ONLY**

Are you a member of a network? **YES** **NO**

If Yes are you: **DIRECTLY AUTHORISED** **OR AN AUTHORISED REPRESENTATIVE**

Name of network: _____

FCA number: _____

You must verify the identify of all investors. To verify third party payers or power of attorney, please use the 'Confirmation of Verification of Identity' form on our website. Please also confirm to the following:

- † I confirm that I have carried out the appropriate identify checks, and have either attached a 'Verification of Identify Certificate' or signed copies of the documentary evidence of identity (being proof of address and photographic ID) **YES** **NO**
- † I have seen the original documents provided as proof of identity **YES** **NO**
- † The payment has come from a bank account in the name of the investor **YES** **NO**
- † The evidence I have seen to confirm the identify of the investor meets the standard evidence set out in the guidance notes for the UK Financial Sector issued by JMLSG in 2007 **YES** **NO**

I also confirm that I have either given advice or a personal recommendation, or I have assessed the appropriateness of the investment for the applicant.

Signed on behalf of the above: _____

Date: _____

In order for this application to be processed, you must have completed Target Servicing Limited's Terms of Business, details of which can be found at www.hartmoorfinancial.co.uk.

FINANCIAL ADVISER/INTERMEDIARY CHECKLIST

Before returning this application form to Target Servicing Limited, please check that:

- Your client has completed all relevant sections of the form
- You, as an authorised signatory of your firm, have completed and signed Section 6 of this form
- You have verified the identify of the applicant and enclosed the Verification of Identity Certificate together with signed copies of the documentary evidence

Hartmoor Financial is a trading name of Target Servicing Limited, who is registered and incorporated in England No. 05618062. Target Servicing Limited is authorised and regulated by the Financial Conduct Authority. Registered under the Financial Services Register reference number 454569. Neither Hartmoor Financial nor Target Servicing Limited offer investment advice or make any recommendations regarding this Plan.



SECTION 7A: EXISTING ISA TRANSFER REQUEST

Title: _____ Surname: _____

Full forenames: _____

Date of birth: _____ D D / M M / Y Y Y Y

Permanent home/residential address: _____

Postcode: _____

Country: _____

Phone number (day): _____

National Insurance (NI) number: _____ A A n n n n n n A

You should be able to find your National Insurance Number on a payslip, form P45 or P60, a letter from HM Revenue and Customs, a letter from the Department for Work and Pensions (DWP), or pension order book.

*If you are transferring more than one ISA, please photocopy this form, and fill in sections 7A and 7B separately for each holding that you are transferring. **Please ensure you sign and complete section 7B overleaf.***



SECTION 7B: EXISTING ISA TRANSFER REQUEST

Name of Existing ISA Manager: _____

Address of Existing ISA Manager: _____

Postcode: _____

ISA Account Number: _____

Type of account: CASH ISA STOCKS AND SHARES ISA INNOVATIVE ISA

Amount to be transferred : £ _____

If you are transferring your ISA from the current tax year, please note that under ISA Regulations, you must transfer your current year subscriptions and interest in full. We can, however, accept partial transfers for previous years' ISAs.

To the existing ISA manager:

I hereby instruct you to sell my investments within my ISA immediately and transfer the cash proceeds, together with any interest, dividends, rights and any other cash within my ISA (less any amount you are entitled to keep under our agreement) to Target Servicing Limited, PO Box 900, Newport, NP20 9NN. Please transfer my ISA once instructions have been received from Target Servicing Limited to do so. After transfer, all tax credits due should be made payable directly to me. Please make the cheque payable to 'Target Servicing Limited' reference [client name] and write the name of the Plan clearly on the reverse of the cheque to ensure timely processing. If you are not in a position to transfer my cash proceeds by 22nd April 2016, please cancel my request to transfer and reinstate my ISA.

Applicant Signature: _____

Date: _____