

Application Form

NDFA REGULAR FIXED INCOME PLAN JULY '08

1 Personal Details This section must be completed by all applicants.										
Title (Mr/Mrs/Miss/Ms)										
Date of Birth										
Surname										
Full Forenames										
Permanent Residential Address										
Postcode										
Tel. No. (Daytime)										

2 Joint Holders – FOR DIRECT INVESTMENT ONLY ONLY The Joint Holder must complete this section.									
Title (Mr/Mrs/Miss/Ms)									
Surname									
Full Forenames									

3 On behalf of a Child This section is applicable for DIRECT INVESTMENTS ONLY									
For direct investments on behalf of a child, the adult signing the form acts as a nominee of the child.									
Child's Name									

4 National Insurance Number This section is applicable for ISA INVESTMENTS ONLY										
Do you have a National Insurance (NI) Number?										
Yes <input type="checkbox"/>		No <input type="checkbox"/>								
If 'YES' you must enter it here: (You should be able to find your NI number on a payslip, form P45 or P60, a letter from the Inland Revenue, a letter from the DWP, or pension order book).										

5 Subscription This section must be completed by all applicants.									
					Amount		Tick if relevant		
Direct Investment									
I apply to subscribe the following amount as a direct investment into the Plan (Minimum total £10,000 and maximum £1,000,000).									
					£		<input type="checkbox"/>		

Stocks and Shares ISA 2008/09									
(Minimum of £3,600 and maximum of £7,200) I apply to subscribe the following amount into the Plan for the tax year 2008/09 [only available if you have not yet subscribed to a stocks and shares ISA for 2008/09].									
					£		<input type="checkbox"/>		

Total Subscription:									
(Minimum investment £7,200 or £10,000 if a direct only investment). Cheques should be made payable to 'NDF Administration Limited Client A/C', or for a building society cheque 'NDF Administration Limited Client A/C reference [your name]'.									
					£		<input type="checkbox"/>		

6 Please tick the option you require									
Option 1:		<input type="checkbox"/>	7.5%		Annual Income				
Option 2:		<input type="checkbox"/>	0.60%		Monthly Income				

7 Income payment details										
Income payments can only be made by direct credit by the Bankers Automated Credit System (BACS) to an account with a bank or building society within the UK clearing system. Please refer to the Brochure for Income payment details.										
Bank/ Building Society										
Account to be credited (for example, MR & MRS A JONES)										
Bank Sort Code <input type="text"/> - <input type="text"/> - <input type="text"/>										
Full Account Number <input type="text"/>										
(normally 8 digits occasionally 7, Lloyds TSB for example)										
Building Society Reference or Roll Number										

8 Appropriateness

Have you received a personal recommendation from your adviser to invest in this product?

Yes No

If "Yes", please proceed to Section 9, Declaration and Authority. If "No" please answer the questions below before proceeding to Section 9 Declaration and Authority. If you do not answer these additional questions, we will not be able to determine whether this investment is appropriate for you.

Appropriateness Questions

The following questions only need to be answered if you have not received investment advice

Question 1

Have you, in the last 5 years, held any of the following investments?

- Shares
- Unit Trusts/ OEICS
- Stocks and Shares ISAs/ PEPs
- A product similar to the one you are applying for [known as a Structured Product] i.e. a fixed term investment, where you may get back less than you invested

Question 2

Do you understand that stock market movements may put your capital at risk, meaning you could get back less than you invested?

Yes No

Question 3

Do you understand that the investment has been designed to be held for the full term, that cashing in early is limited to 4 dates per month and that by doing so you may get back less than you invested, due to stock market movements or because of charges already built into the product?

Yes No

Full details on these and any other risks are contained within the Brochure and Terms & Conditions, which you should have read and understood

9 Declaration & Authority This section must be signed and dated by all applicants.

Applicable to all ISA Applicants

I declare that:

1. I wish to subscribe for a Stocks and Shares ISA the amount detailed overleaf;
2. all subscriptions made belong to me;
3. I have not subscribed and will not subscribe more than £7,200 in total to a cash ISA and a stocks and shares ISA in the same tax year;
4. I have not subscribed and will not subscribe to another stocks and shares ISA in the tax year 2008/09; and
5. 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 the Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to or

are in a civil partnership with a person who performs such duties. I will inform NDF Limited if I cease to be so resident and ordinarily resident or to perform such duties or be married to or in a civil partnership with a person who performs such duties.

For all Applicants

I declare that I am 18 years of age or over and that I am not acting on behalf of a resident of the United States; further, I agree to inform you immediately should I become a resident of the United States.

I authorise NDF Administration Limited:

1. to hold my cash subscription, investments, ISA investments, interest, dividends and other rights or proceeds in respect of those investments and any cash or other proceeds;
2. to make on my behalf any claims to relief from tax in respect of ISA investments; and
3. on my request to transfer or pay to me, as the case may be, Direct Investments, ISA investments, interest, dividends, rights or other proceeds in respect of such investments, any cash or other proceeds.
4. to supply me with an annual NDF Regular Fixed Income Plan July '08 statement.

I have read and understood The NDF Regular Fixed Income Plan July '08 brochure, including Investment Risks and Terms & Conditions and accept the terms under which my investments will be managed. I acknowledge that the Plan Manager will only provide an annual report on the value of my investment. I declare that this application form has been completed to the best of my knowledge and belief.

Signature

X

Date

Joint Holder if applicable (direct investment only):

Signature

X

Date

Please note all applications must be received by NDF Administration Limited before 5pm on 1 September '08.

Notes

1. When this application form is completed and signed, please return it to your Financial Adviser or NDF Administration Limited, PO Box 1007, St Albans AL1 9LY
Telephone: 01727 734 315; Fax: 01727 734 311.
2. Money laundering regulations (as amended): Under the regulations, there is a legal requirement to prove the identity of people who wish to make an investment. You may therefore be asked for some evidence of your identity. This will normally be a passport or similar form of identity check together with proof of address from a gas bill, electricity bill or similar. We may also check your identity using electronic systems. There may be a delay on investment or redemption if the necessary evidence of identity cannot be obtained.
3. Data Protection Act 1998 (as amended): NDF Administration Limited will store information that we hold about you for administration and marketing. We may contact you about our services, and the services of companies we have a relationship with, in the future. If you would prefer not to receive such information please mark this box . We may also decide to pass your details on to carefully selected parties we have relationships with. You are entitled to access to the information we hold about you upon payment of a fee.
4. Your Plan is designed to be held without change until it matures. The interim value of the underlying investments of the Plan do not directly impact the benefits generated. The capital return from this Plan depends on the level of the Indices at maturity and its performance throughout the Investment Term, which can be obtained from us or from public sources. We will send you Plan statements once a year with information on how your Plan is progressing.

For Financial Adviser use only

Name & Address:

FSA Number:

Have you provided the Customer with investment advice in relation to this product? YES NO

If 'No', how has the investment been taken out?

Execution only YES NO

Direct Offer YES NO

Other, please specify _____

Commission sacrifice for direct investments (not available for ISAs)

I would like to sacrifice

Please tick

1% Commission

2% Commission

All Commission

For NDFA use only

Plan Number

ISA transfer only

NDAF REGULAR FIXED INCOME PLAN JULY '08

1

Personal details

This section must be completed by all applicants.

I confirm that I am transferring a:

Stocks & Shares ISA Cash ISA

(Please tick only one box).

A separate application is required for each ISA you wish to transfer.
This form may be photocopied for extra copies.

Title (Mr/Mrs/Miss/Ms)

Date of Birth

Surname

Full Forenames

Permanent residential address

Postcode

Tel. No. (Daytime)

2

Please tick the option you require

Option 1: **7.5%** Annual Income

Option 2: **0.60%** Monthly Income

3

National Insurance Number

This section is applicable for ISA INVESTMENTS ONLY

Do you have a National Insurance (NI) Number?

Yes No

If 'YES' you must enter it here:

(You should be able to find your NI number on a payslip, form P45 or P60, a letter from the Inland Revenue, a letter from the DWP, or pension order book).

4

Income payment details

Income payments can only be made by direct credit by the Bankers Automated Credit System (BACS) to an account with a bank or building society within the UK clearing system. Please refer to the Brochure for Income payment details.

Bank/
Building Society

Account to be credited
(for example, MR & MRS A JONES)

Bank Sort Code - -

Full Account Number
(normally 8 digits occasionally 7, Lloyds TSB for example)

Building Society Reference or Roll Number

FOR ADDITIONAL FORMS (e.g. for a spouse, partner or friend), simply photocopy this form.

Please complete the sections and declaration overleaf →

Existing ISA transfer request

If you are transferring more than one ISA please photocopy this form and sign a separate form for each holding you are transferring.

I confirm that I am transferring a: (Please tick only one box)

Stocks & Shares ISA Cash ISA

Title (Mr/Mrs/Miss/Ms)

Date of Birth

Surname

Full Forenames

Permanent Residential Address

Postcode

Name of your existing ISA Manager

Address of ISA Manager

ISA Manager Tel No.

Account No of ISA

Existing ISA Manager instructions:

1. I instruct the Manager of the ISA shown above to provide NDF Administration Limited any information they may require in relation to the Plan and to sell the ISA assets and send a cheque for the proceeds payable to: 'NDF Administration Ltd Client A/C' at NDF Administration Limited, PO Box 1007, St Albans AL1 9LY by 1 September '08. If there should be any problems please contact NDF Administration Limited on 01727 734 315.
2. Any dividends, interest, and tax credits arising after the transfer should be made payable directly to me.

Signature

X

Date

5 Appropriateness

Have you received a personal recommendation from your adviser to invest in this product?

Yes No

If "Yes", please proceed to Section 6, Declaration and Authority. If "No" please answer the questions below before proceeding to Section 6 Declaration and Authority. If you do not answer these additional questions, we will not be able to determine whether this investment is appropriate for you.

Appropriateness Questions

The following questions only need to be answered if you have not received investment advice

Question 1

Have you, in the last 5 years, held any of the following investments?

Shares

Unit Trusts/ OEICS

Stocks and Shares ISAs/ PEPs

A product similar to the one you are applying for [known as a Structured Product] i.e. a fixed term investment, where you may get back less than you invested

Question 2

Do you understand that stock market movements may put your capital at risk, meaning you could get back less than you invested?

Yes No

Question 3

Do you understand that the investment has been designed to be held for the full term, that cashing in early is limited to 4 dates per month and that by doing so you may get back less than you invested, due to stock market movements or because of charges already built into the product?

Yes No

Full details on these and any other risks are contained within the Brochure and Terms & Conditions, which you should have read and understood.

6 Declaration & Authority

1. I instruct the existing ISA Manager to sell my existing ISA assets in accordance with the ISA transfer request forms, and transfer the amount(s) realised to NDF Administration Ltd Client Account to invest in The NDF Regular Fixed Income Plan July '08 ISA.
2. I authorise NDF Administration Limited to hold my cash subscriptions, Plan investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash and to make on my behalf any claims to relief from tax in respect of Plan investments, and on my written request to transfer or pay to me, as the case may be, Plan investments, interest, dividend rights or other proceeds in respect of such investments or any cash. I authorise NDF Administration Limited to supply me with an annual statement.
3. I declare that the information given in this declaration is true and correct to the best of my knowledge and belief and that I will inform NDF Administration Limited without delay of any change in my circumstances affecting any of the information in this form.
4. I declare that I have read and understood the booklet, Investment Risks and Terms & Conditions and I agree to be bound by the Terms and Conditions.

Signature

X

Date

If you are transferring more than one ISA, please photocopy this form and sign a separate form for each holding you are transferring.

Please note all applications must be received by NDF Administration Limited before 5pm on 18 August '08.

Notes

1. When this application form is completed and signed, please return it to your Financial Adviser or NDF Administration Limited, PO Box 1007, St Albans AL1 9LY
Telephone: 01727 734 315; Fax: 01727 734 311.
2. Money laundering regulations (as amended): Under the regulations, there is a legal requirement to prove the identity of people who wish to make an investment. You may therefore be asked for some evidence of your identity. This will normally be a passport or similar form of identity check together with proof of address from a gas bill, electricity bill or similar. We may also check your identity using electronic systems. There may be a delay on investment or redemption if the necessary evidence of identity cannot be obtained.
3. Data Protection Act 1998 (as amended): NDF Administration Limited will store information that we hold about you for administration and marketing. We may contact you about our services, and the services of companies we have a relationship with, in the future. If you would prefer not to receive such information please mark this box . We may also decide to pass your details on to carefully selected parties we have relationships with. You are entitled to access to the information we hold about you upon payment of a fee.
4. Your Plan is designed to be held without change until it matures. The interim value of the underlying investments of the Plan do not directly impact the benefits generated. The capital return from this Plan depends on the level of the Indices at maturity and its performance throughout the Investment Term, which can be obtained from us or from public sources. We will send you Plan statements once a year with information on how your Plan is progressing.

For Financial Adviser use only

Name & Address:

FSA Number:

Have you provided the Customer with investment advice in relation to this product? YES NO

If 'No', how has the investment been taken out?

Execution only YES NO

Direct Offer YES NO

Other, please specify _____

Commission sacrifice for direct investments (not available for ISAs)

I would like to sacrifice

Please tick

1% Commission

2% Commission

All Commission

For NDFA use only

Plan Number

Confirmation of verification of identity

Private Individual

Introduction by an FSA-regulated firm

1 Details of individual (see explanatory notes below)											
Title (Mr/Mrs/Miss/Ms)											
Date of Birth	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>										
Surname											
Full Forenames											
Permanent residential address											
Postcode	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>										
Tel. No. (Daytime)											
Previous address if individual has changed address in the last three months											
Postcode	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>										

2 Confirmation	
I/we confirm that	
(a) the information in section 1 above was obtained by me/us in relation to the customer;	
(b) the evidence I/we have obtained to verify the identity of the customer:	
(Please tick only one box).	
meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG;	<input type="checkbox"/>
OR	
exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).	<input type="checkbox"/>
Signed	
X	
Name	
Position	
Date	

3 Details of introducing firm (or Sole Trader)	
Full Name of Regulated Firm (or Sole Trader)	
FSA Reference Number	

Explanatory notes	
<p>1. A separate confirmation must be completed for each customer (e.g. joint holders, trustee cases and joint life cases). Where a third party is involved, e.g. a payer of contributions who is different from the customer, the identity of that person must also be verified, and a confirmation provided.</p> <p>2. This form cannot be used to verify the identity of any customer that falls into one of the following categories:</p> <ul style="list-style-type: none"> those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification; those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations; or those whose identity has been verified using the source of funds as evidence. <p>3. This confirmation must carry an original signature, or an electronic equivalent.</p>	

Simplified Due Diligence (Investments of £11,000 or less)	
<p>The Joint Money Laundering Steering Group guidance notes provide guidance on when a firm can apply Simplified Due Diligence. No verification of identity is required for a 'Transaction' of less than 15,000 Euro on certain low risk products. NDFA have imposed a sterling amount of £11,000 or less.</p> <p>Based on the amount being invested in respect of this application, I believe NDFA may rely on Simplified Due Diligence for this transaction.</p>	
Signed	
X	
Name	
Position	
Date	

Confirmation of verification of identity

Corporate and other non-personal entity

Introduction by an FSA-regulated firm

1 Details of applicant (see explanatory notes below)	
Title (Mr/Mrs/Miss/Ms)	
Surname	
Full Forenames	
Type of entity (corporate, trust etc)	
Location of business (full operating address)	
Postcode	
Registered office in country of incorporation	
Registered number, if any (or appropriate)	
Relevant company registry or regulated market listing authority	
Names of directors (or equivalent)	
Names of principal beneficial owners (over 25%)	

2 Confirmation	
I/we confirm that	
(a) the information in section 1 was obtained by me/us in relation to the customer;	
(b) the evidence I/we have obtained to verify the identity of the customer:	
(Please tick only one box).	
meets the guidance for standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG;	<input type="checkbox"/>
OR	
exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).	<input type="checkbox"/>
Signed	
X	
Name	
Position	
Date	

3 Details of Introducing Firm (or Sole Trader)
Full Name of Regulated Firm (or Sole Trader)
FSA Reference Number

Explanatory notes

- "Relevant company registry" includes other registers, such as those maintained by charity commissions (or equivalent) or chambers of commerce.
- This form cannot be used to verify the identity of any customer that falls into one of the following categories:
 - those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
 - those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations; or
 - those whose identity has been verified using the source of funds as evidence.
- This confirmation must carry an original signature, or electronic equivalent.

Simplified Due Diligence (Investments of £11,000 or less)
The Joint Money Laundering Steering Group guidance notes provide guidance on when a firm can apply Simplified Due Diligence. No verification of identity is required for a 'Transaction' of less than 15,000 Euro on certain low risk products. NDFAs have imposed a sterling amount of £11,000 or less.
Based on the amount being invested in respect of this application, I believe NDA may rely on Simplified Due Diligence for this transaction.
Signed
X
Name
Position
Date