

# Annual Growth Plan - Issue Seventeen (Kick-out)

## Application for direct investment and/or 2011/2012 Stocks & Shares ISA investment

Return this form with your cheque made payable to '**Walker Crips Stockbrokers Limited**' to Walker Crips Structured Investments, Finsbury Tower, 103-105 Bunhill Row, London EC1Y 8LZ. The closing date for applications is by 5pm on **Friday, 10th February 2012**.

If you are already a client of Walker Crips or have previously invested in a Walker Crips Structured Investments Plan please provide your account number:

Please complete this form using **BLOCK CAPITALS** and **black ink**.

### 1. Personal details

#### First applicant

Title (Mr/Mrs/Miss/Other)	Surname
Full forenames	
Permanent residential address	
Postcode	
Date of birth D D M M Y Y Y Y	Nationality
Country of permanent residence	Email address
Telephone (day)	Telephone (evening)

#### Joint applicant

Title (Mr/Mrs/Miss/Other)	Surname
Full forenames	
Date of birth D D M M Y Y Y Y	Nationality
Country of permanent residence	Email address
Telephone (day)	Telephone (evening)

### 2. Investment details

#### Direct Investment

I apply to subscribe the following amount as a direct investment in the Annual Growth Plan - Issue Seventeen (Kick-out).

£	(minimum £5,000)
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**2011/2012 ISA investment** Have you previously taken out an ISA with Walker Crips Stockbrokers? Y  N

I apply to subscribe the following amount to an ISA investment (comprising stocks & shares) for the **tax year 2011/2012**, I understand that I cannot invest in another Stocks & Shares ISA in this tax year.

£	(minimum £5,000, maximum £10,680.)
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**National Insurance (NI) Number** (Only required for ISA investments)

         

You should be able to find your NI number on a payslip, Form P45 or P60, a letter from HMRC, a letter from the DSS, or pension order book.

### 3. Have you received financial advice?

Walker Crips Structured Investments recommend that all customers seek financial advice relating to the suitability of this product in relation to their circumstances and investment objectives.

Have you received financial advice in relation to this application?

Yes. Firm name

Adviser name

No. I haven't received financial advice.

If you HAVE received advice, please proceed to Section 4. If you HAVE NOT received financial advice, please complete the following section.

#### Have you ever held any of the following?

- i. Any investment where the capital and investment returns are variable and are based on the performance of an underlying security or index, such as equities, commodities, indices and corporate bonds.  Yes  No
- ii. A structured investment product (a fixed term investment) such as the one you are applying for.  Yes  No

#### Do you understand the following statements?

- i. The Plan may run for six years and you must be prepared to invest for the full Investment Term.  Yes  No
- ii. Should you need to cash the Plan in early, you may get back less than your original amount invested.  Yes  No
- iii. You are prepared to accept some risk to your capital in return for higher potential returns.  Yes  No
- iv. You have a minimum of £5,000 to invest.  Yes  No
- v. You may lose some or all of your money.  Yes  No

Please refer to page 10 of the brochure, titled 'Important points and suitability' for guidance on whether this investment is appropriate for you. If you do not answer these additional questions, we will not be able to determine whether this investment is appropriate for you.

### 4. Declaration

#### 1. I/we hereby certify that

I/we are 18 years of age or over. All subscriptions made, and to be made, belong to me/us.

I/we are 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 of 2003 (Crown Employees serving overseas), are treated as being performed in the United Kingdom, or I/we are married to, or in a civil partnership with, a person who performs such duties.

I/we are not a resident, nor am I/we acting on behalf of a resident of the United States, and that I/we will not assist any person who is so resident to invest in this Plan. Further, I/we agree to inform you immediately should I/we become a resident of the United States.

I/we will inform Walker Crips Stockbrokers Limited if I/we cease to be so resident and ordinarily reside or to perform such duties or to be married to, or in a civil partnership with, a person who performs such duties.

The information above is true and correct to the best of my/our knowledge and belief, and I/we agree to advise Walker Crips Stockbrokers Limited without delay of any change in my/our circumstances affecting any of the information on this declaration and authority.

I/we have read and understood the Annual Growth Plan - Issue Seventeen (Kick-out) brochure, including the risks and Terms and Conditions and accept the Terms and Conditions and agree to the Terms and Conditions under which my/our Investments will be managed.

#### 2. If I have subscribed to an ISA I confirm that

I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a Cash ISA and a Stocks and Shares ISA in the same year.

I understand that this ISA is subject to the terms and conditions within the brochure and agree thereto.

I authorise Walker Crips Stockbrokers Limited as ISA/Plan Manager; to make on my behalf any claims to relief from tax in respect of ISA Investments; to hold, or on my written request, transfer or pay to me, as the case may be, my cash subscriptions, ISA Investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

I authorise Walker Crips Stockbrokers Ltd to supply me with a Annual Growth Plan - Issue Seventeen (Kick-out) statement twice each year.

#### Data protection

You authorise us to hold and process the information supplied on the application form as a data controller for the purposes of the Data Protection Act 1998. We may hold and process information for the administration of the service for which you are currently applying or may apply for in the future, for the operation of your investment and for marketing goods and services from any member of the Walker Crips Group. You authorise the transfer of your information to any member of the group for these purposes.

You authorise the disclosure of your information concerning your investment to an Independent Financial Adviser acting on your behalf.

You are entitled to request details of the information we hold upon payment of a fee and require us to correct any inaccuracies in that personal data.

#### Joint applicant

Signature

Date

#### First applicant

Signature

Date

### Financial adviser details and money laundering statement (THIS SECTION MUST BE COMPLETED IN FULL)

- I confirm that I have completed the appropriate verification of identity checks and attach the **Identity Verification Certificate\*** Certified copies of the underlying documentary evidence **are enclosed** with this certificate.
- or
- I confirm that I have completed the appropriate verification of identity checks and attach the **Identity Verification Certificate\*** I have sighted the original documents and that any requiring a signature were presigned.

Please tick the appropriate box

\* Identity Verification Certificates can be downloaded from [www.wcgpplc.co.uk/wcsi](http://www.wcgpplc.co.uk/wcsi)

Company name	IFA signature
IFA name	
Address or IFA company stamp	Contact number
	FSA number
Postcode	Commission sacrifice %

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