

SG UK Growth Plan 4 (UK Four)

Direct investment and/or 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 5 December 2014**.

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:

1. Personal details

First applicant

| | |
|---|---|
| Title (Mr/Mrs/Miss/Other) | Surname |
| Full forenames | |
| Permanent residential address | |
| Post code | |
| Date of birth | Nationality |
| Telephone | Email address |
| List all countries you are resident in for tax purposes | National Insurance Number <input type="text"/> <input type="text"/> You should be able to find your National Insurance Number (NI) on a payslip, Form P45 or P60, a letter from HMRC, a letter from the DWP or a pension order book. |

Joint applicant

| | |
|---|---|
| Title (Mr/Mrs/Miss/Other) | Surname |
| Full forenames | |
| Date of birth | Nationality |
| List all countries you are resident in for tax purposes | National Insurance Number <input type="text"/> <input type="text"/> You should be able to find your National Insurance Number (NI) on a payslip, Form P45 or P60, a letter from HMRC, a letter from the DWP or a pension order book. |

2. Investment details

Direct Investment

- | | | |
|--|------------------------|----------------|
| i. Total amount being sent (i.e. amount on cheque) | £ <input type="text"/> | |
| ii. Adviser charge deducted (if any) | £ <input type="text"/> | |
| iii. I/We apply to subscribe the following Net Investment Amount | £ <input type="text"/> | (min. £10,000) |

2014/15 ISA Investment

- | | | |
|---|------------------------|--------------------------------|
| i. Total amount being sent (i.e. amount on cheque) | £ <input type="text"/> | |
| ii. Adviser charge deducted (if any) | £ <input type="text"/> | |
| iii. I apply to subscribe the following amount to a Stocks & Shares ISA Investment for the tax year 2014/15 | £ <input type="text"/> | (min. £10,000 max. £15,000) |

3. Financial advice and adviser charging

I/We have received financial advice I/We have not received financial advice (please complete Appropriateness section)

Firm name Adviser name

Have you paid the adviser charges?

- Yes, I/we have paid the adviser charges separately.
- No, I/we have not paid the adviser charges and would like you to pay the amount detailed in section 2 to my/our financial adviser. Please note that the maximum charge we are able to facilitate is 4% of your total investment.

Appropriateness section (must be completed if you have not received advice)

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're applying for. Yes No

Do you understand the following statements?

- i. 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 may lose some or all of your money. Yes No

Please refer to page 10 of the brochure for important points, risks 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. Applicant Declaration

I/We hereby certify that:

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

I/We am/are 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 I/We am/are married to, or in a civil partnership with, a person who performs such duties. I/We will inform Walker Crips Stockbrokers Limited (WCSB) if I/We 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.

I/We am/are not a resident, nor am/are I/we acting on behalf of a resident of the United States or a US Person(s), and I/we will not assist any such person to invest in this Plan. Further, I/we agree to inform you immediately should I/we become a resident of the United States or a US Person.

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

I/We understand that this brochure and Terms & Conditions are the agreement under which my/our investment will be managed, and understand for my/our own protection that I/we should read them carefully before signing and ask for further information or seek advice about anything which is unclear to me/us.

First applicant

Signature

Date

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 & Shares ISA in the same tax year.

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

I authorise WCSB 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.

Adviser charges

By signing this application I/we can confirm that I/we am/are in agreement with the adviser charge being deducted as indicated in section 2 and paid to my/our financial adviser.

My/Our adviser has fully explained their charges to me/us and I/we understand that, should I/we exercise my/our cancellation rights after the adviser charge has been paid, WCSB will not return any adviser charges to me/us. I/We will need to contact my/our financial adviser regarding any refund.

I/We understand that WCSB is simply facilitating adviser charges and any queries regarding these payments will need to be discussed with my/our financial adviser.

Joint applicant

Signature

Date

Applications must be submitted via an authorised intermediary

5. Financial adviser declaration (THIS SECTION MUST BE COMPLETED IN FULL)

Where I have provided advice and made a personal recommendation to the investor(s) in accordance with the FCA Handbook, I confirm that I have assessed the suitability of this product in relation to my client's circumstances and investment objectives.

Where no advice has been given and the investor is undertaking an execution only investment, I confirm that I have assessed the appropriateness of this investment in accordance with the FCA Handbook.

I declare that this application form has been completed to the best of my knowledge and belief and I have fully disclosed any adviser charge, if applicable, to the investor(s). I understand that any adviser charge being facilitated will be paid after the start date of the Plan subject to a fully completed Terms of Business agreement being in place.

I confirm that the details listed in Section 1 have been obtained by me. I have retained a completed Identity Verification Certificate (IDVC) and documentary evidence for all parties relevant to this application that meets or exceeds the standards set out in the JMLSG guidance. I have seen all original documents and those requiring a signature have been signed. I acknowledge that Walker Crips will rely upon this confirmation for the purposes of Regulation 17 of The Money Laundering Regulations 2007 and that the IDVC and relevant supporting documents will be provided on request.

| | |
|----------------------------------|-------------------|
| Company name | Adviser signature |
| Adviser name | |
| Address or adviser company stamp | |
| Post code | Contact number |
| | FCA number |