

# ISA Transfer Application Form 2010/2011

This application form is for the transfer of an existing Cash or Stocks and Shares ISA to the Citi Investment ISA for Citibank International plc to act as plan manager for your ISA. Please make sure that you have read all the information, the relevant Terms and Conditions, and the Key Facts Document(s) before completing this transfer application. You must sign the declaration in section 7 of this application form. A separate application form is required for each ISA you wish to transfer. You may photocopy this for this purpose or for use by a spouse, partner or friend. Please complete this form in BLOCK CAPITALS.

Please return your signed application form together with your proof of address if you are a new customer and payment and/or completed Direct Debit instruction to: FREEPOST RLST-ZRCJ-BJLA, Citibank International plc, P.O. Box 49930, London SE5 7XT. You can also take your application to a Citi branch. See page 4 for proof of identity/address requirements.

If you would like to start contributions into a current tax year ISA with Citibank International plc, you will need to complete a current tax year ISA application form. This needs to be completed before any money can be paid into your new ISA with Citibank International plc. Please note that you will not get the benefit of any investment growth between the date your money is transferred from your old ISA to the date that it is received by us.

## 1. Personal Details

Title Mr  Mrs  Miss  Ms  Other (please specify) \_\_\_\_\_

Surname \_\_\_\_\_

First Name(s) \_\_\_\_\_

Permanent Residential Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ Postcode \_\_\_\_\_

Time at this address (years/months) \_\_\_\_\_

Mother's Maiden Name \_\_\_\_\_

Daytime telephone number\* \_\_\_\_\_

Email address \_\_\_\_\_

Date of birth \_\_\_\_\_ Annual Income/Salary £ \_\_\_\_\_

National Insurance number \_\_\_\_\_

If you do not have a National Insurance number, please tick here

You should be able to find your National Insurance Number on a payslip, Form P60, notice of coding or tax return. Otherwise your employer or tax office may be able to help. If you receive a pension, you can find the number on the front of your pension book.

\* From time to time we would like to send you information about our products and services and those of carefully selected third parties, by way of text message and mobile messaging services. Please tick this box if you would rather not receive such communications and the daytime telephone number you have provided us is your mobile phone number (tick box)

## 2. Existing ISA Manager Details

Name of Company \_\_\_\_\_

Head office Address \_\_\_\_\_

\_\_\_\_\_ Postcode \_\_\_\_\_

Telephone \_\_\_\_\_

Account Number \_\_\_\_\_

## 3. Existing ISA Transfer Request

I confirm that I require a cash transfer of (please tick one box only)

Cash ISA  Investments (Stocks and Shares) ISA

I wish to transfer my existing ISA for (please tick one box only)

- Current tax year only: you must transfer your entire holding.  
 Previous tax year(s): you can transfer all or part of your account.  
 Current and previous tax year(s): you can transfer any amount provided you transfer a cash amount at least equal to the current year's subscription.

You can transfer either the whole of your current year Cash ISA and/or Stocks and Shares ISA and/or the whole or just part of the previous year's Cash ISA and/or Stocks and Shares ISA to us.

Please note that the Citibank International plc ISA is a Stocks and Shares ISA so if you decide to transfer a Cash ISA to us it will become a Stocks and Shares ISA.

Approximate value of transfer £ \_\_\_\_\_

Account number of ISA \_\_\_\_\_

**Existing ISA Manager Instructions:** I instruct the manager of the ISA shown above to provide Citibank International plc with any information it may require in relation to the plan, to sell any ISA assets and send a cheque for the proceeds payable to: 'Citibank International plc'. Should there be a problem, please contact Citi on 0800 00 55 00 and ask to speak to Investment Operations.

All dividends, interest and tax credits arising after the transfer should be made payable directly:

- to me; or  to Citibank International plc. The cheque should be made payable to: "Citibank International plc".

Signature \_\_\_\_\_

Date (dd/mm/yy)   -   -

## 4. Multi-Manager Fund Selection

Please indicate the funds with the corresponding percentage that you wish to transfer the proceeds of your existing ISA into.

	Fund Management Company and Fund Name	Share Class	Fund Sedol Code (for internal use only)	Transfer Percentage
1.	BlackRock Cautious Portfolio	Growth	B1577C3	%
		Income	B1577H8	%
2.	M&G Cautious Multi-Asset Fund	Growth	B1P9ZJ2	%
		Income	B1P9ZK3	%
3.	M&G Managed Fund	Growth	3196058	%
		Income	3196047	%
4.	M&G Managed Growth Fund	Growth	3196070	%
		Income	3196069	%
	TOTAL			100%

If you have chosen income units/shares, please indicate below whether you wish the income to be paid to you or to be automatically reinvested in your Investment ISA to buy further units/shares (tick one of the boxes only).

- Income to be paid out every three months into my existing Citi account (if account holder) or by cheque
- Income to be reinvested in my Investment ISA

Please read the ISA Terms and Conditions for exact dates.

### Do you need financial advice?

If you are new to Citi, call us on **0800 00 88 00** and we will arrange an appointment with one of our Investment Consultants. If you are an existing Citi customer, to arrange an appointment call us on **0800 00 55 00** or contact your Relationship Manager. If you require advice a charge will apply. Please note that calls may be recorded and/or monitored for training and service quality purposes.

Please read the ISA Terms and Conditions for more details or visit [www.citibank.co.uk/isa](http://www.citibank.co.uk/isa)

## 5. Bank account details

Please provide us with details of your bank account into which your income will be paid. If you have either indicated that you don't wish to invest in income unit/shares or you wish to reinvest your income, you can leave the bank account details blank.

Citibank Account Number

Branch Sort Code    -    -

## 6. Data Protection

**PLEASE COMPLETE THE DATA PROTECTION NOTICE, TICK THE 'NON ADVISED ONLY' BOX IN SECTION 7 AND READ THE DECLARATION BEFORE SIGNING AND DATING THE AUTHORISATION.**

Citibank International plc ("we") is a member of the Citigroup group of companies and is the data controller of the information it holds about you.

So that we can provide you with products and services we need to collect, use, share and store personal and financial information that will be provided by you as part of this application process, and also any personal and financial information which we receive as a result of you transferring to us ISA products held with other providers.

We will collect information about you either directly from you and from the way you use your account and your transactions or from third parties such as joint account holders, credit reference agencies, fraud prevention agencies, regulatory bodies and from public registers such as the electoral roll.

We will use the information we collect about you for the purposes of management and administration of your account(s), and providing you with customer services. We will also use the information we collect about you to analyse, prevent and detect fraud, money laundering and other crimes and to fulfil our regulatory and legal obligations. Further, we will use the information we collect about you to conduct statistical analysis and market research in relation to our products and services and the markets they are provided in. We will also use your information to undertake credit assessments and scoring relating to you and other individuals. Where necessary we may also use your information to audit our businesses and services. We may share your information for these purposes within the Citigroup group of companies or with agents acting on our behalf or service providers which provide services to us, we may also share your information where we have a duty to do so or if the law allows with third party organisations or appropriate governmental and non-governmental regulators.

We will also use your information to advise you of relevant products, services and offers from Citigroup and carefully selected third parties that we believe will be of interest to you by telephone, post, email, text/mobile messaging services and Citibank Online, unless you have indicated otherwise at the point of collection of this information. If you do not wish to receive marketing messages from us or selected third parties, you may tell us at any time by writing to us at Customer Service Team, Citibank International plc, P.O. Box 49930, London SE5 7XT and providing your account details.

We will share your information with credit reference agencies to verify your identity, suitability for an account and ability to meet financial commitments, this may include information about how you manage your accounts with us. The credit reference agencies will record details of the searches we undertake in relation to you and the applications that you make for accounts in your credit history. If there is a default in payment on your account we may also provide this information to credit reference agencies and this will also form part of your credit history. Credit reference agencies may have made links or financial associations between you and other individuals (such as partners, members of your household, joint applicants for accounts or credit or other individuals you have a financial connection to), we will use information about associated individuals' credit histories when assessing your application for an account, we will also provide information about associations to credit reference agencies. Associations will be taken into account in future applications by either of you and will continue until one of you successfully files a 'notice of disassociation' with the credit reference agency. The information we provide to credit reference agencies about you and about associated individuals may subsequently be made available to other organisations that use the credit reference agency's services.

We may check the information you provide to us with fraud prevention agencies. It is important that you give us accurate information as if false or inaccurate information is provided and fraud is identified, your details will be passed to fraud prevention agencies. Law enforcement agencies may also access and use this information. We and other organisations will also access this information and other information recorded by fraud prevention agencies in this country and in other countries.

To the extent necessary for the purpose of disposing of a Citigroup business or otherwise restructuring the Citigroup group of companies, we may disclose your information to third parties in connection with the sale and for the purposes of use described in this privacy notice only.

For the purposes of use described in this privacy notice we may be required to transfer your information to jurisdictions outside the EEA, including to our processing centre in India. We will ensure your information is safeguarded in accordance with any applicable laws.

Under UK data protection laws you have certain rights in relation to the information we hold about, these include:

- a right of access to the information we hold about you (a fee may be charged for this);
- a right to object to the use of your information;
- a right to make representations against any adverse decisions which have been taken on a solely automated basis (such as credit scoring);
- a right to amend or erase inaccurate information held about you.

Further, you also have a right to information about the credit reference agencies and fraud prevention agencies that we use.

If you have any queries in relation to this policy or requests in relation to your rights under this policy, please contact the Customer Service Team by writing to Customer Service Team, Citibank International plc, P.O. Box 49930, London SE5 7XT or calling 0800 00 55 00. We will monitor and record telephone calls from and to you in the interest of customer service and for training purposes. This may be done by ourselves or reputable organisations carefully selected by us to ensure consistent service levels and account operations.

We will retain the information about you after the closure of your product or account, or if your application is declined or abandoned for as long as permitted for legal, regulatory, fraud prevention and legitimate business purposes.

## 7. ISA Transfer Declaration and Authorisation

I instruct the existing ISA manager to sell my existing ISA assets in accordance with the ISA transfer request in section three, and transfer the amounts realised to Citibank International plc.

**I declare that:**

1. I am 18 years of age or over;
2. I have not subscribed and will not subscribe to more than £10,200 in total to a Cash ISA and a Stocks and Shares ISA in the same tax year.

**I authorise Citibank International plc:**

1. to hold my cash subscriptions, ISA investments, interest, dividends and any other rights or proceeds in respect of those ISA investments and any cash or other proceeds;
2. to make on my behalf any claims to relief from tax in respect of the ISA investments.

**In placing these instructions I:**

- a) confirm that the information shown on page one accurately reflects the instructions I have given to Citibank International plc;
- b) instruct Citibank International plc, as my agent but in its sole name and without prejudice to its security rights in respect of any investment, to effect each transaction specified above with the relevant Fund, either directly or through any intermediary selected by Citibank International plc for this purpose;
- c) confirm that any transaction effected pursuant to these instructions is entirely my decision and is made solely on the basis, and subject to the terms, of the fund prospectus or other applicable documents of the relevant Fund and not in reliance on any other representation, whether made by or on behalf of Citibank International plc or any other party;
- d) confirm that I have received and read the Key Facts Document, the Investment and Insurance Terms of Business and ISA Terms and Conditions for Citibank International plc;
- e) confirm that I have made all enquiries and taken all independent advice which I consider necessary, and/or am in possession of all material information in respect of each Fund, including my eligibility to become an investor therein;
- f) acknowledge that, in addition to any subscription fee payable by myself, Citibank International plc may also receive remuneration for investments made hereunder from the relevant Fund(s) or the managers or distributors of the Fund;
- g) acknowledge that any instructions may be refused and that the validity of any instruction is subject to receipt of cleared funds from you;
- h) acknowledge that this instruction is irrevocable;
- i) declare that I am not a United States (US) citizen or resident or otherwise a US person for the purposes of the United States Securities Act of 1933, as amended from time to time, acknowledges that investments in Funds may not be held for or transferred to a US person and undertakes to inform Citibank International plc if at any time I become a US person;
- j) declare that there are no regulatory impediments in relation to my country of residency or citizenship prohibiting me to place these instructions and undertake to inform Citibank International plc if at any time my circumstances change in this regard;
- k) understand that Citibank International plc is authorised and regulated by the Financial Services Authority in the conduct of its investment business.

**I confirm that:**

**NON-ADVISED ONLY:** I affirm that I have initiated this investment purchase and have requested not to receive any advice or recommendation from Citibank International plc. I acknowledge that Citibank International plc is therefore not required to assess the suitability of the product or service being provided here. I further acknowledge that this will mean I will not benefit from the protection of the FSA rules on assessing suitability, and that therefore Citibank International plc will not assess whether the relevant product or service will meet my investment objectives, whether I would be able financially to bear the risks of any loss that the product or service may cause or whether I have the necessary knowledge and experience to understand the risks involved. Citibank International plc will be subject to its obligation to manage conflicts of interest here.

I hereby undertake to indemnify Citibank International plc from any loss, charge or expenses from which Citibank International plc may suffer or sustain in acting on these instructions which are the result, and which a reasonable person would consider to be the probable result, of any untrue, misleading or inaccurate information deliberately or carelessly given by me in this application form and to absolve Citibank International plc from all liability for loss or damage which I may sustain from Citibank International plc acting on these instructions which are/is the result and which a reasonable person would consider to be the probable result, of any untrue, misleading or inaccurate information deliberately or carelessly given by me in this application form.

I have read the Key Features/Simplified Prospectus for each of the funds in which I have chosen to invest. I hereby agree to be bound by the Citibank International plc ISA Terms and Conditions.

I understand that the instructions given in this application form are instructions for the purposes of the custodial services as set out in the Terms of Business for the Citibank International plc Investment Advisory Services which I am subject to (the "Custody Terms") and that those Custody Terms apply to these instructions. By signing this application form I consent to the Custody Terms (the contents of which I have read).

I declare that this application form has been completed to the best of my knowledge and belief.

I confirm that to the best of my knowledge my ISA is not void but has been managed in full compliance with the relevant regulations.

Please sign and date below to confirm that you agree with the contents of this application form. Failure to complete or sign this application form may mean that your application cannot be processed and your ISA will not be transferred.

**Important Notice:**

Investment products are not bank deposits, and are neither obligations of, nor guaranteed by, Citigroup, or any of its affiliates. They are subject to investment risks, including possible loss of the principal amount invested. Past performance is not indicative of future results, investments can go down as well as up. Fees, penalties or surrender charges that apply to your investment are contained in the relevant terms and conditions provided

Signature \_\_\_\_\_

Date (dd/mm/yy)   -   -

## 8. Proof of Identity/Address Requirements

If you do not provide the original documents we require, we will attempt to verify your identity and address electronically. If this verification is unsuccessful we will notify you. This will delay the application process and you risk not meeting the tax-year-end deadline. Please note that in some instances even if you provide the original documents we ask for, we may still need to ask you for further documentation. We therefore recommend that you apply early to minimise the risk of not meeting the tax-year-end deadline.

**If you are returning your application by post** and you currently do not hold an ISA or a current or savings account with Citi - please enclose one of the following original documents to confirm your current address: your most recent monthly UK bank statement, a utility bill (not older than 3 months) or a local authority tax bill (valid for the current tax year) or a tenancy agreement. We will return all documents.

**If you are taking your application to a Citi branch** and you currently do not hold an ISA or a current or savings account with Citi - please bring your passport or driving licence to confirm your identity and one of the following original documents confirming your current address: your most recent monthly UK bank statement, a utility bill (not older than 3 months) or a local authority tax bill (valid for the current tax year) or a tenancy agreement.