

Please complete and return this application form to open a Wellesley Individual Savings Account (ISA). We will also automatically open a General Investment Account (GIA) alongside your ISA account so you have the option of investing both inside and outside of your ISA allowance. You are free to leave this account inactive should you wish. Please note that the Transfer Authority Form (on page 4) only needs completing if you are wishing to transfer an existing ISA holding to Wellesley. As we require a wet signature on page 4 this must be returned to us via post.

If you are not transferring an existing holding you do not need to complete page 4 and can return this form via post or email. Post: **Freepost WELLESLEY & CO LIMITED or Wellesley, St Albans House, 57/59 Haymarket, London SW1Y 4QX**. Email: **newaccounts@wellesley.co.uk**.

Personal Details

Title: Mr Dr Mrs Ms Miss

First name:

Occupation:

Last name:

Marital status:

Date of birth: / /

Country of residence:

Mobile phone:

Nationality:

Home phone:

National insurance number:

E-mail:

Address

Current address:

Previous address:

(if less than three years at current address)

Post code:

Post code:

Time at current address:

Time at previous address:

Financial information

Annual income: £

Please confirm the source of your wealth:

- | | |
|---|---|
| Savings from employment income <input type="checkbox"/> | Property sale <input type="checkbox"/> |
| Maturing investments / sale of investments <input type="checkbox"/> | Retirement income <input type="checkbox"/> |
| Company sale or sale of an interest in company <input type="checkbox"/> | Gift <input type="checkbox"/> |
| Pension fund encashment <input type="checkbox"/> | Inheritance <input type="checkbox"/> |
| Fixed deposit savings <input type="checkbox"/> | Loan <input type="checkbox"/> |
| Profits from your business <input type="checkbox"/> | Other income sources <input type="checkbox"/> |
| Divorce settlement <input type="checkbox"/> | |

Please confirm the source of the funds that you wish to invest:

- | | |
|---|---|
| Savings from employment income <input type="checkbox"/> | Property sale <input type="checkbox"/> |
| Maturing investments / sale of investments <input type="checkbox"/> | Retirement income <input type="checkbox"/> |
| Company sale or sale of an interest in company <input type="checkbox"/> | Gift <input type="checkbox"/> |
| Pension fund encashment <input type="checkbox"/> | Inheritance <input type="checkbox"/> |
| Fixed deposit savings <input type="checkbox"/> | Loan <input type="checkbox"/> |
| Profits from your business <input type="checkbox"/> | Other income sources <input type="checkbox"/> |
| Divorce settlement <input type="checkbox"/> | |

Financial information - continued

Estimated value of trades (per year):

< £1,000 £1,000 – £9,999
 £10,000 – £99,999 £100,000 – £999,999
 £1,000,000 – £9,999,999 >£10,000,000

Estimated frequency of trades (per year):

< 10 times 100 – 999 times
 10 – 99 times >1,000 times

Bank account details

Please enter your UK bank account details. This should be the account you intend to deposit funds from and where you would like Wellesley to pay any withdrawal requests to.

Account name:

Sort code: - -

Account number:

Customer agreement

Please ensure that all boxes are ticked in order to confirm your consent.

- I confirm that I have read, understood and agree to the Terms set out in the Platform Term & Conditions, a copy of which I have received or viewed on the Wellesley & Co website (www.wellesley.co.uk/corporate-information/).
- I confirm that I have read and understand that we have entered into an agreement with Third Platform Services Limited (TPS) (www.wellesley.co.uk/corporate-information/) on behalf of ourselves and each of our clients whereby Third Platform Services has agreed to provide clearing and settlement, safe custody and associated services for our clients who are subject to this agreement.
- I confirm that I have read, understood and agree to the Terms set out in the Stocks and Shares ISA – Terms and Conditions (www.wellesley.co.uk/corporate-information/), and TPS will act as ISA Manager.
- I confirm that I understand that Wellesley & Co (FRN 631197) is authorised and regulated by the Financial Conduct Authority (FCA) for arranging (bringing about) deals in investments and making arrangements with a view to transactions and such investments are not covered by the Financial Services Compensation Scheme.
- I confirm that I have read the Privacy Policy, Website Terms of Use and Cookie Policy.
- I would like Wellesley & Co Ltd to contact me about news, as well as special offers and promotions relating to products and services offered by it, Wellesley Secured Finance Plc and Wellesley Finance Plc.
- Phone Email Post
- I would like Wellesley & Co Ltd to contact me to take part in research and/or surveys.
- I confirm that I have the full legal authority and capacity to enter into this agreement.

Signature: _____

Date: / /

It is a UK regulatory requirement that we verify your identity prior to opening your account. In the event that we are unable to verify your details, we will contact you by email should we require you to provide us with additional documentation. Once we have verified your personal details, you will receive an email providing you with details on how to fund your new Wellesley account.

Personal Details

Title:	Mr <input type="checkbox"/> Dr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/>	Address:	<input type="text"/>
First name:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Last name:	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of birth:	<input type="text"/> / <input type="text"/> / <input type="text"/>	Post code:	<input type="text"/>
National insurance number:	<input type="text"/>	Phone number:	<input type="text"/>
If you do not have national insurance number, tick here: <input type="checkbox"/>			

Signature and declaration

I apply to subscribe for a Stocks & Shares ISA for tax year 2019/20 and each successive year until further notice.

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/made payments, and will not subscribe/make payments, more than the overall subscription payment limit in total to a cash ISA, a stocks and shares ISA, an innovative finance ISA, and a Lifetime ISA in the same tax year;
- I have not subscribed and will not subscribe to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA;
- I am 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 am married to, or in a civil partnership with, a person who performs such duties. I will inform Third Platform Services Limited if I 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;
- For my own benefit and protection I have been given the opportunity to read the Terms and Conditions carefully and have had any questions I had concerning them answered to my satisfaction;
- I consent to my personal data being used in accordance with the Terms & Conditions (www.wellesley.co.uk/corporate-information/);
- I appoint Wellesley & Co. to intermediate on my behalf in relation to my ISA portfolios;

I confirm that (tick):

- I have read, understood and agree to the Terms set out in the Stocks and Shares ISA – Terms and Conditions and TPS will act as ISA Manager;

I authorise Third Platform Services Limited:

- To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash;
- To give effect to my instructions in accordance with the Terms and Conditions; and
- To make on my behalf any claims to relief from tax in respect of ISA investments

I declare that this application form has been completed to the best of my knowledge and belief. I will notify Third Platform Services without delay of changes to these particulars.

Signature:	<input type="text"/>	Date:	<input type="text"/> / <input type="text"/> / <input type="text"/>
Full name: (BLOCK CAPITALS)	<input type="text"/>		

Transfer Authority Information

Third Platform Services Limited - ISA Plan Manager (Z1888)

Only complete this form if you are transferring an existing ISA holding to Wellesley.

Personal Details

Title: Mr <input type="checkbox"/> Dr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/>	Address: <input type="text"/>
First name: <input type="text"/>	<input type="text"/>
Last name: <input type="text"/>	<input type="text"/>
Date of birth: <input type="text"/> / <input type="text"/> / <input type="text"/>	Post code: <input type="text"/>
National insurance number: <input type="text"/>	Phone number: <input type="text"/>
If you do not have national insurance number, tick here: <input type="checkbox"/>	Wellesley account number: <input type="text"/>

For your own benefit and protection you should read the Terms and Conditions of Third Platform Services Limited which will form part of your agreement with us.

Declaration - Please ensure you have read and agree to this declaration before you transfer

I authorise Third Platform Services Limited: **(a)** To hold my cash subscriptions, ISA investments, interest, dividends and other rights or proceeds in respect of those investments and any other cash **(b)** To make on my behalf any claims to relief from tax in respect of ISA investments. I have not subscribed, and will not subscribe more than the overall subscription limit in total to a Stocks & Shares ISA, a Cash ISA, Lifetime ISA and an Innovative Finance ISA in the same tax year. I declare that I am 18 years of age or over.

For my own benefit and protection I have been given the opportunity to read the Terms and Conditions carefully and have had any questions I had concerning them answered to my satisfaction.

I agree to the Terms and Conditions.

ISA Transfer Authority - Please complete a separate transfer form for each ISA you wish to transfer

ISA company's name: <input type="text"/>		
ISA sort code (if applicable) <input type="text"/>	ISA reference to be transferred: <input type="text"/>	
Current address: <input type="text"/>	Approximate transfer value: <input type="text"/>	
<input type="text"/>		
<input type="text"/>	Is this a partial transfer? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Post code: <input type="text"/>	Existing ISA type: Stocks and shares <input type="checkbox"/> Cash <input type="checkbox"/>	
	Innovative finance <input type="checkbox"/> Lifetime <input type="checkbox"/>	

I authorise the transfer of my entire ISA to the Third Platform Services Stocks & Shares ISA as cash

Subscriptions made in current tax year:

I authorise you to discuss this transfer with Third Platform Services by telephone and/or via correspondence sent to 'Third Platform Services Limited, 17 Neal's Yard, London, WC2H 9DP'

I have read and agreed to the declaration above.

Signature: _____	Date: <input type="text"/> / <input type="text"/> / <input type="text"/>
Full name: <input type="text"/>	
(BLOCK CAPITALS)	