

# Legal & General FTSE® Growth Plan 3 ISA Transfer Application Form

## FOR OFFICE USE ONLY

RECEIPT NUMBER	CLIENT NUMBER	BC	Agent stamp/number
DEAL REFERENCE	AGENCY NUMBER	LAUNCH CASH FUND	

## NOTES FOR ADVISERS – VERIFICATION OF IDENTITY

The verification of identity declaration can only be used if you have fully verified the customer(s). You cannot use the declaration if the customer 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 who have been subject to Simplified Due Diligence under the Money Laundering Regulations; or
- Those whose identity has been verified using the source of funds as evidence.

**For verification of third party donors, please use the Confirmation of Verification of Identity certificate on our Adviser Centre.**

If you hold ISA(s) with another manager you can transfer them to this ISA by filling in the details on this form and returning it to your financial adviser or to **Legal & General Retail Investments, Customer Services, PO Box 1004, Cardiff CF24 0YS so that it reaches us by 16 April 2010.** Please do not send any money with this application. This form will act as authorisation to your existing ISA manager to transfer your investment to Legal & General. To participate in this offer the proceeds of your existing ISA(s) must be received by us by 30 April 2010. If received after that date the proceeds will not be accepted and therefore will be automatically returned to your existing ISA manager.

**Before completing this application form, please ensure you have read the FTSE® Growth Plan 3 brochure and Terms and Conditions carefully. The Terms and Conditions form the basis of our agreement with you. If you do not understand any point, please ask for further information.**

## SECTION 1. PERSONAL DETAILS. PLEASE COMPLETE IN BLOCK CAPITALS

Title Mr  Mrs  Ms  Miss  Other  If Other, please tick: Male  Female

Surname  Full forename(s)

Permanent residential address   
Postcode

Email address  Daytime telephone number (  )

If you've lived at this address for less than three months, please provide your previous address details here:

Previous address   
Postcode

Date of birth       1 9

Do you have a National Insurance number? Yes  No  If Yes, please enter it here

Do you have an existing investment with Legal & General? Yes  No

If Yes, please provide your client number

## SECTION 2. BANK/BUILDING SOCIETY ACCOUNT DETAILS

Please provide the details of your bank/building society account that you would like any payments to be made into, either on your request or at the payment date stated in the Terms and Conditions, following maturity.

Name of bank/building society	
Address <input type="text"/>	
Postcode <input type="text"/>	
Name of account holder	Sort code <input type="text"/> <input type="text"/> <input type="text"/>
Account number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Roll number (if applicable) <input type="text"/>

Please complete the rest of this form

## SECTION 3. YOUR EXISTING ISA DETAILS

### FOR ISAs TAKEN OUT IN THIS TAX YEAR, YOU MUST TRANSFER THE WHOLE AMOUNT

Before 5 April 2010  I wish to transfer my 2009/2010 ISA to this ISA. Minimum investment is £3,000.

After 5 April 2010  I wish to transfer my 2010/2011 ISA to this ISA. Minimum investment is £3,000.

### FOR ISAs TAKEN OUT IN PREVIOUS TAX YEARS

I wish to transfer my previous tax year's ISA(s) to this ISA as detailed below.

**Please note: If you hold a cash ISA, it will be transferred into a stocks and shares ISA.**

Existing ISA details (including account number)

For previous tax year(s) will you transfer 'whole' or 'part' of your ISA? Whole  or Part

Please give details of tax year(s) and amounts or percentage to be transferred below. Minimum investment is £3,000.

Name and address of existing ISA provider

Postcode

Telephone number ( )

## SECTION 4. DECLARATIONS

### GENERAL DECLARATION (FOR APPLICANTS)

Please read the General Declaration, and where relevant the ISA Declaration for this tax year, then sign and date the Declaration for **Applicants**. Please also read, sign and date the **Transfer Declaration** below.

- I authorise the manager to hold my cash subscription, ISA investments, interest and any other rights or proceeds in respect of those investments and any other cash and to make on my behalf any claims for tax relief in respect of ISA investments.
- I declare that the information given in this application form is true and correct to the best of my knowledge and belief and that I will inform the manager without delay of any change in my circumstances affecting any of the information in this form.
- I declare that I am not a 'US person' as defined under the US Securities Act 1933 and I will inform Legal & General, if I become such a US person.

Please note: Details about residence and being ordinarily resident are available from your tax office or on HM Revenue & Customs' website.

### Important please read: Data Protection

#### Use of your information:

Legal & General takes your privacy very seriously. We use the personal information collected via this form and any other information that you provide to us ('your information') for the purposes of:

1. providing you with our products and services and dealing with your enquiries and requests;
2. administering your investment;
3. carrying out market research, statistical analysis and customer profiling; and
4. sending you marketing information (by post, telephone, email and SMS) about products and services of companies in the Legal & General group and of third parties whose products and services Legal & General offers to its customers.

By signing below, you agree to receive the information as described in 4 above, unless you tell us otherwise by ticking this box .

Given the global nature of our business, we may need to transfer your information to countries outside the European Economic Area in order to provide our services to you.

#### Disclosures:

We will disclose your information to other companies within the Legal & General group of companies, regulatory bodies, law enforcement agencies, future owners of our business and suppliers we engage to process data on our behalf.

If you have been dealing with a financial adviser, we will give them information about your product and, where appropriate, provide them with other information about your dealings with us to enable them to give you informed advice.

Where you have been introduced to us by a bank or a building society, we will share your information with them to enable them to:

- (a) carry out market research, statistical analysis and customer profiling; and
- (b) send you marketing information about their products and services and products and services of companies in the Legal & General group and of third parties whose products and services Legal & General offers to its customers.

By signing below, you agree to receive the information as described in (b) above by post or telephone, unless you tell us otherwise by writing to Legal & General Retail Investments, Customer Services, PO Box 1004, Cardiff CF24 0YS.

#### Access:

You have the right to ask for a copy of your information in return for payment of a small fee. To obtain a copy of your information, please write to us at the above address.

I agree to the use of my information as set out above.

I understand that a copy of the Terms and Conditions and completed application form is available on request.

## SECTION 4. DECLARATIONS CONTINUED

### ISA DECLARATION FOR TRANSFERRING ISAs TAKEN OUT IN THIS TAX YEAR

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, 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 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, and
- 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 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 registered civil partnership with, a person who performs such duties.  
I will inform Legal & General if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a registered civil partnership with, a person who performs such duties.

### APPLICANTS

I have read the FTSE® Growth Plan 3 brochure, Terms and Conditions and declaration carefully.

I agree that the Terms and Conditions form the basis of my agreement with Legal & General.

Signature	Date					2		0			
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### TRANSFER DECLARATION

Instruction to existing manager(s).

I authorise the manager of my existing ISA, named overleaf, to:

1. Sell my 2009/2010 or 2010/2011 tax year ISA assets as detailed in **SECTION 3** (being not less than £3,000)

and/or

2. Sell my previous tax year(s) ISA(s) assets as detailed in **SECTION 3** (being not less than £3,000)
3. Transfer the cash realised to the new Account Manager; Legal & General (Portfolio Management Services) Limited Retail Investments, Customer Services, PO Box 1004, Cardiff CF24 0YS. HM Revenue & Customs Ref Z1160.

I understand that the transfer(s) will only be effected if the proceeds of my existing ISA reach Legal & General at the above address by 30 April 2010.

Signature	Date					2		0			
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Title	Surname	Full forename(s)
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### FOR ADVISERS USE ONLY

To meet Financial Services Authority regulatory reporting requirements, we must now record whether advice was given to your client regarding the sale of this product. Please tick the relevant box. Was advice given? Yes  No

If no advice was given, in accordance with Financial Services Authority regulations, this application needs an appropriateness assessment. Please confirm whether you have determined that the client has the necessary knowledge and experience in order to understand the risks of the product. Yes  No

### VERIFICATION OF IDENTITY (This is not applicable to Legal & General appointed representatives or employees)

I confirm the personal details listed in **SECTION 1** were obtained by me. I have seen evidence to verify the identity of all applicants that meets or exceeds the standards set out with JMLSG guidance. Details of any evidence exceeding the guidance are attached.

Name _____	Signature _____
Job title _____	Date         2   0

Please send to your financial adviser or to:

Legal & General Retail Investments, Customer Services, PO Box 1004, Cardiff CF24 0YS