

# ISAs, UNIT TRUSTS, OEICs ISA TRANSFERS APPLICATION FORM. 2021/2022

Please ensure you've read the current version of the following documents before you make any investment decisions: **Key Investor Information, Terms and Conditions**. You can obtain the latest documents from your financial adviser. Alternatively, you can find the **Key Investor Information** documents for most of our funds and the **Terms and Conditions** at [legalandgeneral.com/investments](https://www.legalandgeneral.com/investments) If you would like us to send them to you, please call us on the number below.

If you don't understand any point, please ask your financial adviser for further information. Alternatively, you can contact us on 0370 050 0955, and we'll be happy to help. We may record and monitor calls. Call charges will vary. The **Terms and Conditions** form the basis of our agreement with you.

## HOW TO COMPLETE THIS FORM:

- You should complete all sections using black ink and BLOCK CAPITALS.
- If you make a mistake, simply cross through and initial the change (please don't use correction fluid).

## WHERE TO SIGN:

### All new investment applications

- If you wish to pay by direct debit (where available), please sign and date part 6.
- Once completed, please sign and date the general declaration in part 7.

### ISA transfer applications

- Once completed, please sign and date the two declarations in part 7 (both the general and transfer declarations require a signature).

**For all applications: you must tick the relevant box in the applicant or legal guardian signature(s) section on page 9 to confirm you've received the current Key Investor Information document(s) for your investment.**

## WHAT NEXT:

- Enclose your personal cheque, if required (new investments only).
- Return the completed form (**including the back page**) to your adviser or direct to us (our address is on the back page).

If you're applying for an ISA transfer only, please don't send any money with this application.

## BEFORE COMPLETING THIS FORM PLEASE READ THE NOTES BELOW AND THE CURRENT VERSION OF THE FOLLOWING DOCUMENT: KEY INVESTOR INFORMATION.

### PERSONAL DETAILS

You can invest in a unit trust or OEIC on an individual basis or with up to three others. Please enter your details in part 1 and the joint applicant's details in part 2 (you can use a separate application form if there's more than one joint applicant). We'll send all correspondence to the first applicant, unless you request otherwise. If you're investing jointly, we'll need all investors to sign for all future transactions, including changes to income payments.

### UNIT TRUST OR OEIC APPLICATIONS

**Resident in UK for tax purposes:** we must have your full name, permanent residential address, postcode, date of birth, and UK National Insurance or UK Unique Taxpayer Reference as provided by Her Majesty's Revenue & Customs (HMRC).

**Resident outside UK for tax purposes:** we must have your full name, permanent residential address, postcode, date of birth, tax identification number and country and town of birth.

If you are resident in more than one country for tax purposes, we must have your tax identification number for each country.

**If you don't have a UK National Insurance number, UK (HMRC) Unique Taxpayer Reference or non-UK tax identification number(s), you need to confirm this by ticking the relevant 'No' box(es). You should be able to find out your UK National Insurance number from your pay slip, P60 or correspondence from HMRC. You should be able to find out your tax identification number or reference from correspondence from the relevant tax authority.**

### ISA OR ISA TRANSFER APPLICATIONS

For all applicants we must have your full name, permanent residential address, postcode, date of birth and UK National Insurance number. You need to give these to us within 30 days of your application; otherwise your ISA won't be valid. **If you don't have a UK National Insurance number, you need to confirm this by ticking the relevant 'No' box(es). You should be able to find out your UK National Insurance number from your pay slip, P60 or correspondence from HMRC.**

**Please note that an ISA can't be in joint names so only the first applicant can use this form to apply for a new ISA or ISA transfer.**

### ISAs (WHERE AVAILABLE)

You can invest up to your ISA limit in a stocks and shares ISA with one provider, or you can split this amount between a stocks and shares ISA, a cash ISA, an Innovative Finance ISA and, if you're eligible, a Lifetime ISA with the same or different providers. Please ensure your contributions don't exceed the overall annual limits (£20,000 for the 2021/2022 tax year). This application is only for a stocks and shares ISA.

### ISA TRANSFER DETAILS

If you have an ISA with another ISA manager, you can transfer this to our ISA.

If your accounts are with different ISA managers, you'll need to complete a separate form for each.

This form acts as authorisation to your existing ISA manager to transfer your investment to Legal & General (Unit Trust Managers) Limited.

ISA transfer isn't available into some funds.

#### Please remember:

- If you wish to transfer an ISA taken out in this tax year, you must transfer the entire ISA.
- If you're transferring part of your previous tax year ISA(s), you need to give the estimated transfer value in part 4.2.
- We'll invest any ISA you transfer to us in a stocks and shares ISA.
- If you're only applying for an ISA transfer, please don't send any money with this application.

When your ISA has been transferred, if you have not already used up your ISA limit, you can pay in more money either as a lump sum or by monthly direct debit. You will need to fill in an application form to do this.

You can obtain the form from your financial adviser or alternatively contact us on the number shown on the front cover of this document.

### YOUR INVESTMENT OPTIONS

Minimum investment levels vary for different funds.

Where available you can choose to take an income, or you can leave your investment for growth. You need to select the appropriate option in part

3.1 and/or part 4.3. You can't take an income for monthly savings. We'll automatically allocate monthly savings for growth.

For all new investments you must write the amount you wish to invest in each of your chosen fund(s) in part 3.1.

For ISA transfer applications (where available), you must write the percentage you wish to invest in each fund in the appropriate box in part 4.3.

See the Key Investor Information document(s) for:

- full fund names;
- minimum investment levels;
- availability of income option;
- availability of monthly savings option;
- details of other investment options.

### UNIT CLASSES (UNIT TRUSTS) AND SHARE CLASSES (OEICs)

Classes are different categories of unit or share for different types of investors. Some funds have more than one class, which may have different minimum investment amounts and levels of charges. In all cases, the underlying investment is the same.

The class in which you invest appears as a letter, for example 'R'.

You must write the class for your chosen investment(s) in the relevant box in part 3.1 and/or part 4.3, otherwise we'll have to contact you to confirm the class before we can place the deal.

See the Key Investor Information document(s) for the class applicable to your investment.

### YOUR NOMINATED BANK/BUILDING SOCIETY ACCOUNT DETAILS

You need to provide the details of your nominated bank/building society account so we can make any payments by BACS. This is a quick and secure method of transferring money. We may use these details to pay you the proceeds of any future withdrawals.

If you've chosen to take income but we don't receive these details, we'll allocate your investment for growth.

The account must be held, or jointly held, by the named applicant(s) at a UK branch of a UK bank or building society. We can't make payments to a third party.

**IMPORTANT: You're able to change your nominated bank or building society account at any time. You must write and tell us the details of the new account. If you don't do this, we may use the bank details you gave us with your initial investment as the nominated bank/building society account.**

### PAYING FOR YOUR INVESTMENT (NEW INVESTMENTS ONLY)

#### Lump sum

You can pay lump sums by cheque.

Please make cheques payable to Legal & General for the total amount. Cheques should be drawn on your personal account. For building society cheques/banker's drafts, please ask the building society/bank to print your name on the cheque as the account holder.

If you'd like to pay by debit card, we accept Visa Debit and Mastercard at [legalandgeneral.com](https://www.legalandgeneral.com). We can't accept debit card payments for any investments by telephone. We don't accept credit card payments or payments by Solo, Electron or Maestro.

#### Monthly savings/Direct Debit Instruction (where available)

If you're making monthly contributions, please complete the Direct Debit Instruction and indicate on which date you'd like us to collect your direct debit each month. When this date doesn't fall on a working day, we'll collect your direct debit on the following working day. If you don't choose a preferred date, or you don't have an existing direct debit set up with us, we'll collect your direct debit on the first of each month.

### 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.
- 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.**

**FOR OFFICE USE ONLY**

<b>Receipt number</b>	<b>Client number</b>	<b>Deal reference</b>

**Agent stamp/number**

**FOR ADVISER USE ONLY**

**BASIS OF ADVICE DECLARATION**

To meet Financial Conduct Authority regulatory reporting requirements, we must now record whether advice was given to your client regarding the sale of this product.

Was the transaction non-advised?

**Tick if relevant**

**VERIFICATION OF IDENTITY (THIS IS NOT APPLICABLE TO LEGAL & GENERAL APPOINTED REPRESENTATIVES OR EMPLOYEES)**

I confirm that the personal details provided were obtained by me. I have seen evidence to verify the identity of all applicants that meets or exceeds the standards set out within Joint Money Laundering Steering Group guidance. Details of any evidence exceeding the guidance are attached. Where evidence supporting the residency declaration made in the personal details section, by the customer, has been shared with me, I have included certified copies with this application.

Please tick here if residency evidence is attached

Name

Job title

Signed

Date (DD/MM/YYYY)

Title	Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/> Other <input type="text"/>		
	If Other, please tick Male <input type="checkbox"/> Female <input type="checkbox"/>		
Forename(s)	<input type="text"/> <small>(in full, not just initials)</small>	Surname	<input type="text"/>
Address	<input type="text"/> <small>(permanent, residential address - we cannot accept c/o details)</small>		
Postcode	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Contact telephone number	<input type="text"/>
	If you have lived at this address for less than three months, please provide your previous address details here:		
Address	<input type="text"/> <input type="text"/>		
Postcode	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
Date of birth (DD/MM/YYYY)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
Email address	<input type="text"/>		
Do you have an existing investment with Legal & General?	Yes <input type="checkbox"/> No <input type="checkbox"/>		
If Yes, please provide your client number	<input type="text"/>		
Are you a UK tax resident?	Yes <input type="checkbox"/> No <input type="checkbox"/>		
Do you have a UK National Insurance number?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If Yes, please provide your UK National Insurance 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"/> <input type="text"/> <input type="text"/>
Do you have a UK (HMRC) Unique Taxpayer Reference (UTR)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, please give your UTR	<input type="text"/>
If you are resident outside the UK for tax purposes	Please state in which country or countries you are resident for tax purposes	Please write your tax identification number	Please tick here if you do not have a tax identification number
	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
If you have ticked that you do not have a tax identification number, please provide the reason here	<input type="text"/>		
Please tick here if you are not resident in any country for tax purposes	<input type="checkbox"/>		
Please provide your country and town of birth	Country	Town	<input type="text"/>
Please tick if applicable	Legal & General employee <input type="checkbox"/>	Legal & General shareholder <input type="checkbox"/>	
	Relative* of Legal & General employee/shareholder <input type="checkbox"/>		
	If you ticked this box, please write their name below (*applies to immediate family only: Parent(s), children, brother(s), sister(s), spouse, partner or registered civil partner)		
Name of employee/shareholder	<input type="text"/>		

Title	Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/> Other <input type="text"/>		
	If Other, please tick Male <input type="checkbox"/> Female <input type="checkbox"/>		
Forename(s)	<input type="text" value="(in full, not just initials)"/>	Surname	<input type="text"/>
Address	<input type="text" value="(permanent, residential address - we cannot accept c/o details)"/>		
Postcode	<input type="text"/>	Contact telephone number	<input type="text"/>
	If you have lived at this address for less than three months, please provide your previous address details here:		
Address	<input type="text"/>		
Postcode	<input type="text"/>		
Date of birth (DD/MM/YYYY)	<input type="text"/>		
Email address	<input type="text"/>		
Do you have an existing investment with Legal & General?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
If Yes, please provide your client number	<input type="text"/>		
Are you a UK tax resident?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
Do you have a UK National Insurance number?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If Yes, please provide your UK National Insurance number <input type="text"/>
Do you have a UK (HMRC) Unique Taxpayer Reference (UTR)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, please give your UTR <input type="text"/>
If you are resident outside the UK for tax purposes	Please state in which country or countries you are resident for tax purposes	Please write your tax identification number	Please tick here if you do not have a tax identification number
	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
If you have ticked that you do not have a tax identification number, please provide the reason here	<input type="text"/>		
Please tick here if you are not resident in any country for tax purposes	<input type="checkbox"/>		
Please provide your country and town of birth	Country <input type="text"/>	Town <input type="text"/>	

**3.1 How much do you want to invest and where?**

You must read the current version of the Key Investor Information document(s) for your chosen fund(s) before you invest. If you don't have the document(s), please contact your financial adviser. Alternatively, you can find Key Investor Information documents for most of our funds at [legalandgeneral.com](http://legalandgeneral.com) or contact us on 0370 050 0955. See the Key Investor Information document(s) for full fund names and applicable unit or share class.

Fund name (in full)	Unit or share class (where applicable)	ISA (first applicant only where available)			Unit trust/OEIC		
		Lump sum investment Income	Lump sum investment Growth	Monthly investment	Lump sum investment Income	Lump sum investment Growth	Monthly investment
		£	£	£	£	£	£
		£	£	£	£	£	£
		£	£	£	£	£	£
		£	£	£	£	£	£
		£	£	£	£	£	£
		£	£	£	£	£	£
		£	£	£	£	£	£
		£	£	£	£	£	£
		£	£	£	£	£	£
<b>Totals</b>		£	£	£	£	£	£

**3.2 Unit trust or OEIC investments (first applicant only)**

Optional – please complete if you wish to add a personal reference to your investment.

Account holding designation

**4.1 Your ISA – transfer request**For ISAs taken out in this tax year:   
I wish to transfer my 2021/2022 ISA.For ISAs taken out in previous tax years:   
I wish to transfer my previous ISA(s).**4.2 Your ISA – existing details**

Existing ISA details:

For previous tax years I wish to transfer: whole  or part  of my ISA.

Details

Account number

If transferring part of your ISA, please give details below, including the estimated value of the transfer:

The estimated value of the transfer is:

£ 

Name/address of current provider

Postcode

Contact telephone number

**Note: Some managers may not allow you to transfer part holdings. If this is the case, we'll contact you again to see how you wish to proceed.****4.3 Your ISA – how much do you want to transfer and where?****You must read the current version of the Key Investor Information document(s) for your chosen fund(s) before you invest. If you don't have the document(s), please contact your financial adviser. Alternatively, you can find Key Investor Information documents for most of our funds at [legalandgeneral.com](http://legalandgeneral.com) or contact us on 0370 050 0955. See the Key Investor Information document(s) for full fund names and applicable unit or share class.**

Fund name (in full)	Unit or share class (where applicable)	Income	Growth
<input type="text"/>	<input type="text"/>	%	%
<input type="text"/>	<input type="text"/>	%	%
<input type="text"/>	<input type="text"/>	%	%
<input type="text"/>	<input type="text"/>	%	%
<input type="text"/>	<input type="text"/>	%	%
<input type="text"/>	<input type="text"/>	%	%
<input type="text"/>	<input type="text"/>	%	%
<input type="text"/>	<input type="text"/>	%	%
<b>Totals</b>		%	%

We will need your nominated bank/building society account details to pay you any income on your investment. We may use these details to pay you the proceeds of any future withdrawals.

Bank/building society name

Address



Postcode

Sort code

Account number

Account holder name

Roll number  
(if applicable)

Preferred collection date for your direct debit (between 1st and 28th) (DD)

### LEGAL & GENERAL

#### INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBIT

Service user number



Please fill in the whole form and send to: Legal & General Investment Management, PO Box 6080, Wolverhampton WV1 9RB

Reference

#### Name and full postal address of your bank or building society

To: The Manager

Bank/building society

Address



Postcode

Branch sort code

Bank/building society account number

Name(s) of account holder(s)

#### Instruction to your bank or building society

Please pay Legal & General Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this Instruction may remain with Legal & General and, if so, details will be passed electronically to my bank/building society.

Signature(s)

Date  
(DD/MM/YYYY)

- Banks and building societies may not accept Direct Debit Instructions for some types of account.



**General declaration****For all new ISA subscriptions only****I declare that:**

- I apply to subscribe for a Legal & General stocks and shares ISA for the tax year 2021/2022 and each subsequent tax year\* unless I instruct you otherwise.

**For current tax year ISA transfer applicants only****I declare that:**

- I wish to transfer my existing ISA and subscribe to this stocks and shares ISA for the tax year\* 2021/2022 and each subsequent tax year unless I instruct you otherwise.

\*This allows flexibility to continue investments into future tax years without making a new ISA declaration.

**For all new ISA subscriptions and current tax year ISA transfer applicants****I declare that:**

- all subscriptions made, and to be made, belong to me;
- I have not subscribed, and will not subscribe, more than the overall subscription 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; and
- 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 the 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 or to perform such duties or be married to, or in a registered civil partnership with, a person who performs such duties.

Please note: Details about residence are available from your tax office or on the [www.gov.uk](http://www.gov.uk) website.

**For all ISA and ISA transfer applicants****I authorise Legal & General:**

- 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 make on my behalf any claims for tax relief in respect of ISA investments.

**For all applicants****I declare that:**

- I am 18 years of age or over;
- I am not a US person;

**Important please read: Data protection****Data Protection**

Legal & General takes your privacy very seriously. Under data protection legislation, we have classified Legal & General (Unit Trust Managers) Limited (the "Manager") as a 'data controller' (and in the case of an investment in the OEIC, the Manager and the OEIC as "joint data controllers").

This means that we are subject to certain obligations relating to how we process personal data. These obligations include, without limitation, providing individuals with certain information regarding how we process their personal data.

We will use the personal data you have provided in this application form, including your name, age, contact details, bank account details, transactions and the invested amount in accordance with all applicable data protection laws and our Privacy Policy which is available at [lgim.com/UTMprivacy](http://lgim.com/UTMprivacy) (or otherwise available upon request).

Our Privacy Policy sets out, amongst other things, the purpose or purposes for which your personal data is collected and intended to be processed and also contains any other information prescribed by data protection legislation.

**Communication**

In order to process your personal data for the purposes of marketing (which may be carried out by the Manager or entities within the Legal & General group of companies), the Manager, acting as a data controller seeks your consent.

Please tick if you wish to receive marketing communications about the products and services of the Manager and the Legal & General group of companies (including news and exclusive offers) by email .

You may, at any time, object to the use of your personal data and withdraw your consent for the purposes of direct marketing at any time and free of charge by writing to the Data Protection Officer by letter and/or email at the address(es) provided in the Privacy Policy.

**Access**

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

**I confirm that:**

**The information given in this application is true and correct to the best of my knowledge and belief and I will inform Legal & General without delay of any change in my circumstances affecting any of the information in this form.**

**I understand that a copy of the completed application form is available on request.**

**I understand that all payments will be made to the bank/building society account I have nominated.**

**I have read the declaration carefully.**

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

**APPLICANT OR LEGAL GUARDIAN SIGNATURE(S)**

Please tick this box to confirm you've received the current Key Investor Information document(s) for the fund(s) you wish to invest in. If you've not received the document(s), please see the front cover for information on how to obtain a copy. We cannot accept your application if you have not ticked this box.

First applicant signature

Date  
(DD/MM/YYYY)Joint applicant signature  
(unit trust or OEIC  
investments only)Date  
(DD/MM/YYYY)**IF YOU ARE TRANSFERRING AN EXISTING ISA(S), YOU MUST ALSO READ, SIGN AND DATE THE TRANSFER DECLARATION.****TRANSFER DECLARATION****Instruction to existing manager(s)**

I authorise the manager of my existing ISA(s) to:

1. Sell my 2021/2022 ISA assets as detailed, not being less than £500.

**and/or**

2. Sell my previous tax year(s) ISA(s) assets as detailed.
3. Transfer the cash realised to the new ISA manager, which will be:

Legal & General (Unit Trust Managers) Limited  
PO Box 6080, Wolverhampton WV1 9RB  
HM Revenue & Customs Ref Z1845

4. Provide Legal & General (Unit Trust Managers) Limited with any information, written or non-written, concerning the ISA and to accept any instructions from them relating to the ISA being transferred.

**Note:** By signing this declaration you are consenting that a copy of this form will be provided to your existing ISA manager in order to demonstrate that we have your consent to the transfer.

Signature

Date  
(DD/MM/YYYY)

Forename(s)

(in full, not just initials)

Surname

Please send your completed application (including this page) to your financial adviser, or to:  
Legal & General Investment Management, PO Box 6080, Wolverhampton WV1 9RB



[legalandgeneral.com](https://legalandgeneral.com)

**Legal & General (Unit Trust Managers) Limited**  
Registered in England and Wales No. 01009418.

**Registered office:** One Coleman Street, London EC2R 5AA

We are authorised and regulated by the Financial Conduct Authority.

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\*LGAAA120\*