

# Private Investors

## ISA Transfer Form

This transfer form is designed for private investors wishing to:

- Transfer cash from an existing ISA held with different ISA Manager into the Threadneedle Investment Services Ltd Stocks and Shares ISA, or
- Make an in specie transfer of eligible Columbia Threadneedle funds held with a different ISA Manager into the Threadneedle Investment Services Ltd Stocks and Shares ISA

Terms used in the Prospectus have the same meaning given to them in this transfer form. The Terms and Conditions relating to your orders will also apply.

Please use this transfer form if you are a UK domiciled PRIVATE INVESTOR, and wish to transfer an existing Stocks and Shares ISA into a Threadneedle Stocks and Shares ISA.

For a comprehensive list of all Threadneedle Funds available via the Threadneedle Stocks and Shares ISA, please refer to our website [www.columbiathreadneedle.com](http://www.columbiathreadneedle.com).

### Which section is applicable to you?

All investors should complete the following:

- Section 1 (Investor details – Threadneedle Stocks and Shares ISA)
- Section 2 (Threadneedle Funds you want to invest in)
- Section 3 (Your investment income)
- Section 6 (Details of the Cash or Stocks and Shares ISA being transferred)
- Section 7 (Declarations)

If you do not have a financial adviser, you must complete section 4 (Client identification)

If you have a financial adviser, the financial adviser should complete section 5 (Financial advisers to complete)

### Completing this form

Before completing this transfer form, please make sure you have read the current Key Investor Information Document (KIID) and/or non-UCITS retail scheme Key Investor Information Document (NURS-KII) for the Threadneedle Fund you are thinking of investing into.

### Anti-money laundering and client identification

We have a legal obligation to help prevent money laundering and terrorist financing by conducting client identification and verification checks upon the creation of a new account for you and to ensure that the information we hold on file for you is up to date.

If you have a financial adviser, your verification checks can be conducted by them and they should then complete section 5 of this form before it is given to us.

If you are applying directly without a financial adviser you will need to complete section 4 (Client identification) for yourself so we can complete the necessary checks.

Please note that if we do not have the correct documentation to identify you when you later sell your shares or units, future withdrawals will not be released until you provide the appropriate information to us.

**How to contact us**

Our Client Services Team will assist you with the purchase, switch/conversion or sale of shares or units in Threadneedle Funds and general administrative queries about dealing.

Notices, letters or other documents you want to send to the Client Services Team must be sent to:

Postal address: Threadneedle Investment Services Limited, PO Box 10033, Chelmsford, Essex, CM99 2AL

Telephone (dealing & customer queries): 0800 953 0134

Email (enquiries): [questions@service.columbiathreadneedle.co.uk](mailto:questions@service.columbiathreadneedle.co.uk)

Please note that calls may be recorded.

Please send your signed and completed transfer form and client identification documents to us by post to the postal addresses set out above.

**What to do if you have any questions**

If you have any questions about the suitability of your investment, please speak to your financial adviser. Threadneedle Investment Services Limited does not give financial advice, but if you have any general queries about this transfer form, please call our Client Services Team.

## SECTION 1

### INVESTOR DETAILS – THREADNEEDLE STOCKS AND SHARES ISA

Please complete in BLOCK LETTERS using INK

The overall ISA subscription limit for the **2022/2023** tax year is **£20,000**. Any amount invested above the ISA limit will not carry the tax advantages of an ISA.

Please note that the **£20,000** ISA limit may be split between a Cash ISA and a Stocks and Shares ISA, however Threadneedle only offers Stocks and Shares ISAs. Please refer to the Terms and Conditions for further information.

#### Personal details – Individual investor

Title (Mr, Mrs, Miss, Other)*	
First name*	
Surname*	
Permanent residential address*	
Postcode*	
Telephone*	
Mobile	
Email address	
Date of birth*	dd / mm / yyyy
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"/>
Existing client reference	
Designation	

\*Please note that without this information we cannot process your application

#### Payment account details (these details are for settlement proceeds and income)

Please provide your bank details below:

Account Holder:		
Bank/Building Society name and branch address		
Sort Code	Account No.	Building Society Ref. No
<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"/> <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"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

#### BankVerification

We are able to pay redemption proceeds direct to your bank account upon receipt of correctly completed forms and satisfactory verification. Proceeds will be released 4 working days after the trade date. If you wish to have the proceeds paid by BACS, we require one of the following documents:

- A voided cheque
- An original bank statement (must be dated within the last 3 months)
- A giro or paying in slip for the bank account
- A letter from your bank confirming the bank details (must be dated within the last 3 months)

The documents must relate to the bank account that you wish to have the proceeds paid into, which must be your own bank account.

**SECTION 2**

**THREADNEEDLE FUNDS YOU WANT TO INVEST IN**

Please complete this section if you wish to transfer your existing Stocks and Shares ISA into a Threadneedle Stocks and Shares ISA.

Please fill in the table below to show the Threadneedle Funds you want to invest in and tell us how much you want to invest in each one.

**A few points to note**

- Minimum investments apply to Threadneedle Funds
- You can invest a single lump sum, make monthly payments or both
- The regular saver option means you want us to take amounts out of your bank account each month and invest it for you in the Threadneedle Fund that you have selected

*Please see the relevant Prospectus for further details, including lump sum minimum investment amounts, share/unit type availability and nominated share/unit classes for Threadneedle Funds.*

If you are unsure about any of the features of the Threadneedle Funds (including the Share Class or type of Share), please speak to a financial adviser.

**Please use another sheet of paper if you need more space to list your choice of funds**

Name of Threadneedle Fund (e.g. UK Equity Income Fund)	ISIN (available in the KIID or NURS-KII)	For cash transfers, please show by percentage or cash amount how you would like your ISA investment to be split

### SECTION 3

#### YOUR INVESTMENT INCOME

Please note,  
if you have invested in income shares/units please choose from the following:

Please pay me all income from my investment

Please reinvest my income by buying more shares/units for me

(You may also wish to consider whether an accumulation share class is available for the Threadneedle Fund you have selected. Please speak to your financial adviser for advice.) for advice.

Please note that:

- Income payments will be paid by Direct Credit (BACS) Transfer to the account detailed above unless you specifically request us to make payments by sending a cheque to the address you have specified in Section 1
- If no bank account details or suitable account verification are provided, income will be reinvested, except where your investment represents a top up to an existing holding where income is already being paid
- If you wish to reinvest income but invest just before the ex-dividend date (the date as detailed in the relevant prospectus on which any income which is available is allocated to your shares/units), your first payment may be re-invested rather than paid out to you

#### Additional payment account details for payment of income (optional)

We will usually make payments to the bank account set out in section 1.

Tick here if you would like us to make your investment income and/or cash withdrawals that is different from the account in section 1.

Please provide full details below along with account verification (a crossed through personal cheque, a paying slip or an original or certified copy of your bank statement). This must be your own bank account. We will not make any payments to third parties.

Account Holder:

Bank/Building Society name and branch address

Sort Code

Account No.

Building Society Ref. No

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## CLIENT IDENTIFICATION

**We will require you to provide us with the documents below together with your completed form.**

We have a legal obligation to help prevent money laundering and terrorist financing by conducting client identification and verification checks.

Please note that if we do not have the correct documentation to identify you when you sell your shares or units, future withdrawals will not be released until you provide the appropriate information to us.

Please send your completed form and any relevant client identification documents to our Client Services Team.

We require documentation from each of the following sections, one to confirm your name and one to confirm your address. These must be separate documents:

ID	Address	Certification of documents
<ul style="list-style-type: none"><li>- Current signed passport</li><li>- Current signed UK/EEA photo card driving licence (a counterpart driving licence is NOT an acceptable document for AML purposes)</li><li>- Current full UK driving licence (old version)</li><li>- State pension documentation, benefits book or original notification letter from the Benefits Agency confirming the right to benefits. (dated within the last 12 months)</li><li>- EEA Member state identity card</li><li>- Inland Revenue Notifications/letters (Tax Assessment, Notice of Coding or Statement of Account) dated within the last tax year. Not P45 or P60</li><li>- Self-employed registration cards for construction industry (CIS3(partner), CIS4(P), CIS4(T), CIS5, CIS6)</li><li>- Shotgun or Firearm certificate</li><li>- Residence permit issued by the Home Office to EU Nationals</li></ul>	<ul style="list-style-type: none"><li>- Recent utility bill (not mobile phone bill). Must be dated within the last 3 months</li><li>- Local authority tax bill, rent card or tenancy agreement (valid for current year)</li><li>- Solicitor/Lawyer letter confirming a house purchase or land registry confirmation</li><li>- Bank or credit card statement showing address within 3 months, not printed from the internet</li><li>- State pension documentation, benefits book or original notification letter from the Benefits Agency confirming the right to benefits dated within the last 12 months (where not used as proof of ID)</li><li>- Inland Revenue Notifications/letters (Tax Assessment, Notice of Coding or Statement of Account) dated within the last tax year (where not used as proof of ID). Not P45 or P60</li><li>- Recent mortgage statement (dated within the last 12 months)</li></ul>	<p>We can accept certification from the following list, where a non-family member:</p> <ul style="list-style-type: none"><li>- Bank or building society official</li><li>- Accountant</li><li>- Doctor</li><li>- Local Government official/councillor</li><li>- Dentist</li><li>- Police officer</li><li>- Teacher/lecturer</li><li>- Solicitor/Barrister</li><li>- Notary public/Public Officer</li><li>- Embassy/Consulate official</li><li>- Director of limited company</li><li>- Justice of the peace</li><li>- MP</li><li>- General/Colonel</li><li>- Post Office Certification Service</li><li>- Financial adviser or other agent</li></ul>

It is strongly recommended that you do not send the original items of valuable personal identity such as passports, driving licences or benefits books. Instead, please arrange for copy documents to be certified.

All certification must be clear and visible on the document, and wherever possible, should appear on the front page. Certification should clearly bear the wording "certified a true copy of the original".

The certifier must sign and print their name, including their designation and full address, and preferably their contact number. The certifier must also add the date of their certification.

We will accept documents that have not been certified on every page, e.g. legal documents, providing they are clear and complete.

## SECTION 5

FINANCIAL ADVISERS TO COMPLETE (applicable only if you have a financial adviser)											
<b>Financial adviser details</b>											
Firm name											
Threadneedle Agent code (if known)											
FCA number	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>										
<b>Client identification and account verification</b>											
Type of Government-issued document (passport, driver licence)											
Reference/Serial number											
Issued by											
Date of issue	dd / mm / yyyy										
Have you met the client in person? Yes <input type="checkbox"/> No <input type="checkbox"/>											
Type of additional verification document (utility bill, credit card statement, bank statement)											
Reference/Serial number											
Issued by											
Date of issue	dd / mm / yyyy										
<b>Disclosure requirement</b>											
Is the client entitled to cancellation rights?	Yes <input type="checkbox"/> No <input type="checkbox"/>										
Original contract note to agent?	Yes <input type="checkbox"/> No <input type="checkbox"/>										
Adviser signature block											

## SECTION 6

<b>Details of Stocks and Shares ISA being transferred</b>	
Please complete this section if you wish to transfer an existing ISA into a Threadneedle Stocks and Shares ISA.	
Plan manager name:	
Plan manager address:	
ISA account number (old provider)	
Transfer date	dd / mm / yyyy
Date of first subscriptions in tax year of transfer	dd / mm / yyyy
Please note that the "Date of first subscription" is only to be completed if the ISA is opened in the tax year in which the transfer takes place. If the transfer takes place in a later year, the field must be left blank.	
Type of ISA	
Total subscriptions in tax year of transfer	
Details of any investment income to follow	
I would like to transfer the full balance of the ISA in the nominated tax year ( <i>please note that if you are transferring an ISA for the current tax year you must transfer the full amount</i> ).	



## SECTION 7

### WHAT ARE YOU AGREEING TO BY SIGNING BELOW?

By signing this form, you will be agreeing to be bound by it, including the Terms and Conditions and the KIID/NURS-KII (as the case may be).

This Form will equally apply to any redemption, switching or conversion orders you place later on: please see the Terms and Conditions for more about selling, switching and converting shares or units.

Please check that the whole form has been completed and any information we have requested has been provided. If you don't sign below, if the form is incomplete, or if UK money laundering regulations require us to obtain more information, your application may be delayed or rejected.

### **Key Investor Information Document (KIID)/non-UCITS retail scheme Key Investor Information document (NURS-KII)**

Before signing this form, you must carefully read the current KIID and/or NURS-KII (as the case may be) for the Threadneedle Funds you are investing in, as well as the Terms and Conditions attached to this form. Please also make sure you keep a copy of those documents and this form (including the Terms and Conditions) for your records. If you don't understand any point please call our Client Services Team for further information.

### Declarations

I declare that:

- I am 18 years of age or over
- I wish to transfer my Stocks and Shares ISA to Threadneedle Investment Services Limited
- I have read the Terms and Conditions attached to this transfer form
- I have read the KIID/NURS-KII relevant to the Threadneedle Fund I am investing in
- I have read the Target Market information for the Threadneedle Fund I am investing in
- The investments I'm making using this form belong to me and I agree to be bound by the terms of this form and the Terms and Conditions
- I understand that Threadneedle Investment Services Limited may use an external agency to satisfy its UK money laundering requirements. The agency may record that an enquiry has been made
- The information provided on this form is, to the best of my knowledge and belief, accurate and complete
- 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, stocks and shares ISA, an innovative finance ISA and a Lifetime ISA in the same tax year that I subscribe to this stocks and shares ISA
- 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 Threadneedle Investment 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
- I authorise Threadneedle Investment 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 and to make on my behalf any claims to relief from tax in respect of ISA investments

## Privacy

We are committed to maintaining the personal data that you provide to us in line with data protection and data privacy legislation. The Privacy Statement contained in our Terms and Conditions and our Privacy Notice gives more information about this and sets out the purposes for which your data may be used and your data subject rights.

We and other companies in our group may use your personal information to keep you informed about investment products and services that you may be interested in from time to time.

Please select if you would like to receive marketing communications by

Telephone/SMS	YES/NO
Email	YES/NO
Post	YES/NO

You have the right to change your marketing preferences at any time, please refer to the "How to contact us" section of this Form.

Note also that telephone calls from or to us may be recorded for monitoring or training purposes.

## Signatures

	Signature	Name	Date
Applicant			dd / mm / yyyy

