

# Stocks and Shares ISA Application

## 1 Your Personal Details *This Section is compulsory (BLOCK CAPITALS PLEASE)*

Title: \_\_\_\_\_ Surname: \_\_\_\_\_  
 Full Forename(s): \_\_\_\_\_  
 Permanent Residential Address: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Postcode: \_\_\_\_\_ Length of time at address: \_\_\_\_\_  
 Daytime Tel No: \_\_\_\_\_  
 Email Address: \_\_\_\_\_

Date of Birth   -   -      
 Do you have a National Insurance Number? Yes  No   
 National Insurance Number:              
 (You will find this on your payslip, P45, P60 or Pension Book) **Must be completed**

I apply to subscribe for a stocks and shares ISA in the tax year **2011/12** and each subsequent year until further notice

*Note: The ISA investment allowance for this tax year is £10,680. You can either invest this entire amount in a Stocks & Shares ISA or use up to £5,340 of this allowance to invest into a Cash ISA. We do not offer cash ISAs*

IFA Details/Special Instructions  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Ref. No. \_\_\_\_\_ (For official use only)

## 2 Your Choice of Investment

Please enter the amount you wish to save in each sub-fund and your total investment in the boxes below.

	Lump Sum Min £1000 per fund	Monthly Payment <sup>1</sup> Min £50 per fund		Lump Sum Min £1000 per fund	Monthly Payment <sup>1</sup> Min £50 per fund		Lump Sum Min £1000 per fund	Monthly Payment <sup>1</sup> Min £50 per fund
American <sup>2</sup>	£	£	Global Equity	£	£	Long-Term Global Equity**	£	£
Asian Income	£	£	Global Higher Income	£	£	Managed	£	£
Balanced	£	£	Global High Yield Bond	£	£	Oriental	£	£
Cautious Managed	£	£	Global Opportunities	£	£	Pan-European	£	£
Continental European	£	£	Global Strategic Bond*	£	£	Phoenix Multi-Asset	£	£
Corporate Bond	£	£	Higher Income	£	£	Real Return A'	£	£
European Higher Income	£	£	Income	£	£	UK Opportunities	£	£
Global Dynamic Bond	£	£	International Bond	£	£	<b>Your Total Investment</b>	<b>£</b>	<b>£</b>

**Notes:** \*The investment adviser of the BNY Mellon Global Strategic Bond Fund is Standish Asset Management LLC. \*\*The investment adviser of the BNY Mellon Long Term Global Equity Fund is Walter Scott and Partners Limited. The investment adviser of all other Sub-funds is Newton Investment Management Limited. Income will be automatically reinvested to maximise your investment unless Section 4 overleaf is completed. No initial charge will be applied on the reinvestment of income. For Newton Phoenix Multi-Asset Fund, accumulation shares will be used unless Section 4 overleaf is completed. 1. For monthly contributions in a Regular Savings Plan any income due must be reinvested. In the case of Newton Phoenix Multi-Asset Fund, accumulation shares will be used. Please ensure you complete the Direct Debit Mandate (see Section 3 below) and send us your first payment by cheque. 2. As at 30 January 2012, The Boston Company Asset Management, LLC replaced Newton Investment Management Limited as the investment adviser to the sub-fund, which also changed its name from Newton American Fund to BNY Mellon American Fund on the same date. **Client classification** - Under the FSA's Conduct of Business rules we are required to classify our investors. We have classified you as a Retail Client unless otherwise notified. This means that you will have the maximum amount of protection available for complaints and compensation, and will receive information in a straightforward way. However some clients, such as professional investors, may not necessarily have the same rights under the Financial Ombudsman Service and the Financial Services Compensation Scheme. Further details may be found on our website - www.bnymellonam.co.uk under Client Classification. Please send your completed Application Form and cheque (drawn on your account from which all future direct debits are to be collected, where applicable) made payable to **BNY Mellon Fund Managers Limited** to: ISA Department, BNY Mellon Fund Managers Limited, FREEPOST NAT22500, Brentwood, CM15 8BR. Please do not staple cheques or correspondence to the Application Form. Please note that any corrections must be initialled. Additionally, any payments where the underlying bank account holder is not named (e.g. bankers drafts, building society cheques etc.) must be endorsed with the underlying bank account holder's name and address details.

Please ensure that you **sign and date** the declaration **overleaf**

## 3 Instruction to your Bank or Building Society to pay Direct Debits

Please complete parts A to D to instruct your Bank or Building Society to make payments directly from your account to:

BNY Mellon Fund Managers Limited, FREEPOST NAT22500, Brentwood, CM15 8BR.

Please be aware that if you pay into an ISA by direct debit the payments will be taken until you advise us otherwise and not just the current tax year



**A.** Full name and postal address of your Bank or Building Society:

The Manager, \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 Postcode: \_\_\_\_\_

**B.** Name(s) of Account Holder(s)

\_\_\_\_\_

**C.** Bank Account No.:

Bank Sort Code:

-    -

Building Society

Account No.:

Building Society

Collection Account No.:

Originator's Identification Number:

Originator's Reference (office use only)

**D.** Instruction to your Bank or Building Society and signature(s)

Please pay BNY Mellon Fund Managers Limited Direct Debits from the account detailed on this instruction, subject to the safeguards assured by the Direct Debit Guarantee (see overleaf). I understand that this instruction may remain with BNY Mellon Fund Managers Limited, and if so, details will be passed electronically to my Bank or Building Society.

Signature:

Date:



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ASSET MANAGEMENT

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#### 4 Do you want to receive income from your investment?

Income will be automatically reinvested if this Section is **not** completed.

Please pay the income to my Bank/Building Society account as follows:

Bank/Building Society:	_____
Address:	_____ _____
Postcode:	_____
Name(s) of Account Holder(s)	_____ _____

Bank Sort Code	□□□ - □□□ - □□□
Bank Account No.	□□□□□□□□□□
Building Society Account No.	□□□□□□□□□□
Building Society Collection Account No.	□□□□□□□□□□

#### 5 Investment advice

If you have not received any investment advice with regards to this investment, please tick this box .  
Please leave the box blank if you have received investment advice from a financial advisor.

#### 6 Declaration (Please read this section carefully before signing and dating the Declaration - any mistakes made when completing the form should be corrected and initialled)

##### I declare that:

- All subscriptions made, and to be made, belong to me
- I am over 18 years of age
- 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, 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 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 civil partnership with, a person who performs such duties, and will inform BNY Mellon Fund Managers Limited if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties, and
- I am not a US Person and I hereby confirm that the Prospectus has been made available, any offer of this stocks and shares ISA has been made and this application has been transmitted whilst I was outside the United States.

##### I authorise BNY Mellon Fund Managers 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 make on my behalf any claims to relief from tax in respect of ISA investments
- On my written request to transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash

I have received and read the Simplified Prospectus and Data Protection Statement and agree to the ISA Terms & Conditions.  
I declare that this Application Form has been completed to the best of my knowledge.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Please note that these fields are mandatory

BNY Mellon Fund Managers Limited is the Authorised Corporate Director (ACD) of the Company. The ACD is responsible for managing and administering the Company's affairs in compliance with FSA Regulations and the Treasury Regulations. The ACD will delegate investment management to one or more of its affiliated specialist investment boutiques.

##### Data Protection Act 1998 - Use of your information

BNY Mellon Fund Managers Limited ("BNY MFM") is a data controller within the meaning of the Data Protection Act 1998. BNY MFM and its Associates (as defined in Section 52 of the Companies Act 1989) may use the personal information supplied to provide the service applied for, confirm/update customer records and to establish your identity. BNY MFM may also be required to transfer personal information to the HMRC from time to time in order to process tax reclaims. BNY MFM may also be required to provide personal information to other government departments e.g. Department of Works & Pensions. To comply with Anti-Money Laundering Regulations we may need to request evidence of identity from you. We may use a credit reference agency for this purpose who will record that an enquiry has been made. You have the right of access to your personal data held by BNY MFM, at any time, by contacting us in writing and upon payment of a fee. Please note that any redemption or cancellation proceeds may be withheld if the appropriate identity verification has not been provided. We would like to advise you, by mail and/or email, of other products and services being offered by us and our affiliated companies which may be of interest to you. If you do not wish to receive such information please tick the box . BNY MFM. Authorised and regulated by the Financial Services Authority. A member of the IMA. Sub-funds are distributed by BNY Mellon Asset Management International Limited.

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#### The Direct Debit Guarantee

- This guarantee is offered by all banks and building societies that take part in the direct debit scheme. The efficiency and security of the scheme is monitored and protected by your own bank or building society.
- If an error is made by BNY Mellon Fund Managers Limited or your bank or building society, you are guaranteed a full and immediate refund from your branch of the amount paid.
- If the amounts to be paid or the payment dates change, BNY Mellon Fund Managers Limited will notify you in writing before the new collection is made.
- You can cancel a direct debit at any time by writing to your bank or building society. Please also send a copy of the letter to BNY Mellon Fund Managers Limited.