

# Capital Protected Plan and Capital Protected ISA application form

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## Please complete this form to invest into the Capital Protected Plan or Capital Protected ISA.

Once you have completed this application form please send to: HSBC Trust Company (UK) Limited, Frobisher House, Nelson Gate, Commercial Road, Southampton SO15 9DF. Telephone enquiries: 0800 289 505. Lines are open 9pm to 5pm Monday to Friday (excluding public holidays). To help us continually improve our service and in the interests of security, we may monitor and/or record your communications with us.

**Important: Completed application forms and payment must be received at the above address no later than 2.00pm on the closing date stated on the current Capital Protected Plan and Capital Protected ISA Key Features Document. We will be unable to accept any applications received after this date/time.**

**IMPORTANT:** Please provide the Fund Code of the Fund you are applying for. This can be found on your Key Features Document. We cannot process your application without this code.

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## Notes on completing this form

- ▶ A minimum investment amount of £3,000 applies per Plan or ISA
- ▶ If you are unsure whether this is a suitable investment product for you, you should seek financial advice, which you may be liable to pay for

## 1. Investment choice

Please indicate the investment you are applying for by ticking one or more of the boxes below. If you do not tick the correct box(es) we may not be able to accept your application.

- Capital Protected Plan
- Capital Protected ISA

## 2. Personal Details

**i** Please refer to the Your Information section of the Capital Protected Plan and Capital Protected ISA Terms and Conditions which explains how we will use this information.

Sex  Male  Female

Title  Mr  Mrs  Miss  Ms  Dr Other (please specify)

Surname

First name(s)

Permanent Residential Address

Postcode

Tel. no (daytime)  Tel. no (evening)

Date of Birth 

D	D	M	M	Y	Y	Y	Y
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Do you already hold a Plan or Stocks and Shares ISA with HSBC Trust Company (UK) Limited?

If yes, please provide the Account number 

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Are you permanently resident outside the UK?  Yes  No

If Yes, you may need to complete a Non-Resident Regulatory Details Form which is available from your local HSBC Bank. Alternatively, you can call us on the number given above.

### 3. Personal details of second investor – Capital Protected Plan only (Not available for ISAs)

**i** Please refer to the Your Information section of the Capital Protected Plan and Capital Protected ISA Terms and Conditions which explains how we will use this information.

Sex  Male  Female

Title  Mr  Mrs  Miss  Ms  Dr Other (please specify)

Surname

First name(s)

Permanent Residential Address

Postcode

Tel. no (daytime)  Tel. no (evening)

Date of Birth

Do you already hold a Plan or Stocks and Shares ISA with HSBC Trust Company (UK) Limited?

If yes, please provide the Account number           \*

Are you permanently resident outside the UK?  Yes  No

If Yes, you may need to complete a Non-Resident Regulatory Details Form which is available from your local HSBC Bank. Alternatively, you can call us on the number given above.

### 4. Designation (not available for ISAs)

A Plan cannot be opened by anyone aged under 18 years, but an application can be made by an adult and the account designated in a name of your choice. Please enter designation below if required (eg, insert child's name or initials etc. maximum 20 characters).

### 5. Important – this section must only be completed if you are applying for a Capital Protected ISA

This Stocks and Shares ISA Application Form is for Tax Year starting 6 April     only (Eg, the Tax Year starting 6 April 2009 is the 2009/2010 Tax Year)

Do you have a National Insurance Number?  Yes  No

If you have a temporary National Insurance Number please tick 'No'

National Insurance Number\*

\*You should be able to find your NI Number on a payslip, form P45 or P60, a letter from HM Revenue & Customs, a letter from the Department for Work and Pensions, or a pension order book.

### 6. Investment details

The minimum investment is £3,000 per Plan or ISA. If you are applying for an ISA and a Plan, each investment must be at least £3,000.

(a) Capital Protected Plan

(b) Capital Protected ISA

## 7. Payment method

Please indicate how you wish to pay:

To pay by cheque, please complete section A). To pay by transfer from your UK HSBC/First Direct bank account, please complete section B).  
Cheques or Transfers drawn on third party accounts cannot be accepted.

### A. By cheque:

Please make cheques payable to HSBC Trust Company (UK) Limited. Cheques should make reference to the investor as named in Section 2 (eg, HSBC Trust Company (UK) Limited re: Mr Smith), or with reference to the investors in Section 2 and 3 (eg. HSBC Trust Company (UK) Limited re: Mr & Mrs Smith). If you are subscribing to both a Capital Protected ISA and a Capital Protected Plan you only need to write one cheque for both investments.

I/We enclose £

### B. By transfer from your HSBC/First Direct Bank Account:

Please complete this section if you wish to invest by transferring money from your UK HSBC/First Direct bank account.

Name(s) in which account is held

Branch Sort code  4  0   —   —

Number

#### Capital Protected Plan\*:

I/We request you to transfer:  £  from the above HSBC/First Direct bank account.

and credit HSBC Trust Company (UK) Limited account  4  0  4  1  0  7  8  1  4  1  7  0  6  1 in respect of the  
Capital Protected Plan.

#### Capital Protected ISA\*:

I request you to transfer:  £  from the above HSBC/First Direct bank account.

and credit HSBC Trust Company (UK) Limited account  4  0  4  1  0  7  2  1  6  6  7  1  0  6 in respect of the  
Capital Protected ISA.

Signature of First Investor

Date

Signature of Second Investor

Date

\*If you are subscribing to a Capital Protected Plan and a Capital Protected ISA we may take this as one total payment from your HSBC/First Direct bank account.

## 8. Declaration and Signature(s)

I/We apply to subscribe to a Capital Protected Plan and/or where applicable, to a Capital Protected ISA (Stocks and Shares) for the Tax Year indicated in Section 5 of this Application Form.

### I/We declare that:

- ▶ I/We have received the Simplified Prospectus and Key Features Document and agree to the Capital Protected Plan and Capital Protected ISA Terms and Conditions
- ▶ This application form has been completed to the best of my/our knowledge and belief and I/we will notify HSBC Trust Company (UK) Limited without any delay of any changes in my/our circumstances affecting any of the information given in this application. Where the information I/we have supplied relates to other people, I/we declare that I/we am/are authorised by them to disclose that information and to accept the Terms on their behalf
- ▶ I/We am/are aged 18 years of age or over.

### If I am applying for an ISA, I also 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 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
- ▶ 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 civil partnership with, a person who performs such duties. I will inform HSBC Trust Company (UK) 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

### If I am applying for an ISA, I authorise HSBC Trust Company (UK) 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

Note: If you are not the applicant, but are signing on behalf of the applicant, please enter your name in the box below and describe the legal capacity in which you are signing this form.

If you are applying for an ISA for someone else, please note that you are only entitled to sign this form if the applicant is mentally or physically incapacitated and you are the applicant's appointed attorney. A Property and Affairs Lasting Power of Attorney must be registered with the Office of the Public Guardian. (Enduring Powers of Attorney made prior to 1st October 2007 must be registered with the Court of Protection where the applicant is mentally incapacitated). Alternatively you may be appointed as a deputy by the Court of Protection. Please complete the boxes below. We regret that Powers of Attorney granted for convenience cannot be accepted. A certified copy of the Power of Attorney or a stamped copy of the Court of Protection Order will be required in order to process the application.


Name:

Capacity:

If you are signing the form as attorney because the applicant is physically incapacitated, please tick this box

If you are signing the form as attorney because the applicant is mentally incapacitated, please tick this box

### Information about Products and Services

 If you agree, the HSBC Group may use and share relevant information about you, your transactions and your relationships with the HSBC Group, to give you information about products, services (including mortgages) and promotions available from HSBC Group companies and those of selected third parties which may interest you by post, telephone, electronic and other means. The HSBC Group may also exchange, analyse and use relevant information about you in the way described above to ensure that promotional content displayed to you on screen when you log on to HSBC Group websites is more likely to be relevant and of interest. If you do not want us to contact you about such products and services or use what we know about you to help decide what we display to you on our websites, please let us know. By completing this application you will be consenting to the use of your information for this unless you tick the appropriate box(es) below to indicate that you do not wish to receive such information;

No post

No email

No mobile messaging

No telephone

**i** By signing this application, you agree that we can use your information in the way set out above and in the Capital Protected Plan and Capital Protected ISA Terms and Conditions.

Signature of First Investor

X Please sign here

Date

D	D	M	M	Y	Y	Y	Y
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Signature of Second Investor

X Please sign here

Date

D	D	M	M	Y	Y	Y	Y
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### 9. Agency Section (for completion by Professional Adviser only)

I confirm that all money laundering identification and verification checks have been completed on this client in accordance with the 2007 Joint Money Laundering Steering Group (JMLSG) Guidance Notes and that a completed Identification Verification Certificate is enclosed/has already been submitted to HSBC Trust Company (UK) Limited (one per applicant). Please note that your application cannot be processed without this document.

Professional Advisor Signature

X Please sign here

Date

D	D	M	M	Y	Y	Y	Y
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Company name

Company Address

Postcode

VAT Registration no.

Tel. number

FSA no.

<b>A</b>	AGENTS STAMP  COMMISSION CODES (PLEASE TICK APPROPRIATE BOX) UNLESS STANDARD COMMISSION APPLIES
<b>B</b>	
<b>C</b>	
<b>D</b>	

#### Categorisation of Clients

Retail    Per Se Professional    Per Se Eligible Counterparty    Elective Professional    Elective Professional Counterparty

#### For Bank use only

Please stamp with branch 'date received' stamp and sign to evidence that application has been accepted (ISA investment only)

Signature

Name

Bank/Branch stamp only



### Any Questions?

Please call your Professional Adviser or our Investor Services Team free on 0800 289 505 (weekdays 9am to 5pm). To help improve our service and in the interest of security we may record and/or monitor your communications with us.



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