

# Premier Portfolio Management Service

## Stocks & shares ISA application form

### Section 1. Personal details

If you are an existing Premier account holder, please quote your account number:















Title: \_\_\_\_\_

First name: \_\_\_\_\_

Middle name(s): \_\_\_\_\_

Surname: \_\_\_\_\_

Permanent residential address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Telephone numbers - Home: \_\_\_\_\_

Mobile: \_\_\_\_\_

Email address: \_\_\_\_\_

National Insurance Number:

If you do not have a National Insurance Number, please tick here

You should be able to find your National Insurance Number on a payslip, form P45 or P60, a letter from HM Revenue & Customs, a letter from the DWP or a pension order book

Date of birth:

Place and country of birth: \_\_\_\_\_

### Section 2. Investment instructions

Please complete below.

I apply to subscribe to a Stocks & Shares ISA as follows:

Total ISA investment amount: £ \_\_\_\_\_ (maximum £20,000 for 2020/21 tax year)

Please transfer my subscription amount from my Premier Portfolio: Account No. \_\_\_\_\_

I enclose a cheque for my subscription amount. Please make this payable to SEI Re Premier Fund Managers Limited.

### Section 3. Payments to your financial adviser (if applicable)

Financial adviser initial payment \_\_\_\_\_ % or £ \_\_\_\_\_ Tick if subject to VAT: Yes  No

Please state which type of payment this applies to: Lump sum: Yes  No  Regular savings: Yes  No

Financial adviser payment for continuing services, please select one of the options below:

Nil  0.25% p.a.  0.5% p.a.  0.75% p.a.  1% p.a.  Tick if subject to VAT: Yes  No

Once the application has been processed, we will be unable to alter the VAT status indicated above.

Please note: By completing the above you instruct us to deduct any initial payment from your investment with the balance invested into your portfolio, and all other ongoing payments directly from your portfolio. Premier is not responsible for accounting for any VAT on these payments.





## Section 4. Declaration & authority

### I apply to subscribe to the Premier Portfolio ISA.

#### I declare that:

- I am aged 18 or over.
- I am resident in the United Kingdom for tax purposes, or if not so resident, perform duties which, by virtue of Section 28 of the Income Tax (Earnings and Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or am married to, or in a civil partnership with, a person who performs such duties, and will inform Premier Fund Managers Limited if I cease to be so resident, or to perform such duties or to be married to, or in a civil partnership with, a person who performs such duties.
- I have not subscribed, and will not subscribe more than the overall subscription amount 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.
- All subscriptions made, and to be made, belong to me and I am the beneficial owner of the funds being used for this ISA.
- I have read and understood the ISA Terms and Conditions and the Terms and Conditions of the Premier Portfolio Management Service (a copy of which with **reference number: 03042016997** I have received) and I agree to be bound by them, each as they may be amended from time to time.
- I declare that the information given in this Application Form is true and correct to the best of my knowledge and belief. I will notify Premier Fund Managers Limited without delay of any change in the information given.

#### I authorise Premier Fund Managers Limited:

- To receive and hold my cash subscriptions, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash in the ISA.
- To make on my behalf any claims to relief from tax in respect of the account investments.

#### Money Laundering Regulations 2017:

Under these regulations there is a legal requirement to prove the identity of people who wish to make an investment. You may therefore be asked for some evidence of your identity and date of birth. This will normally be a passport or similar form of identity check together with proof of address from a recent utility bill (not a mobile telephone bill). Additionally, electronic checking systems may be used to verify identity, including credit agencies which may keep a record of this information although this is only to verify your identity and will not affect your credit rating.

I understand that you will undertake a search with a Credit Reference Agency for the purposes of verifying my identity. To do so the Credit Reference Agency may check the details I supply against any particulars on any database (public or otherwise) to which they have access. They may also use my details in the future to assist other companies for verification purposes. A record of the search will be retained.

#### Data Protection

I agree to the following:

- The information I provide on this application form (or subsequently provide) will be held and processed by Premier as data controller.
- Premier may hold and process information for the administration of the service(s) for which I am currently applying or may apply for in the future, for the operation of my investment in units or shares (e.g. for registration and distribution purposes).
- Premier may transfer information to other companies in the Premier Miton Investors marketing group and to third party agents of such companies or Premier for any of the above purposes. Such third party agents may be in countries located outside of the European Economic Area (EEA). Premier will take steps to ensure that my privacy rights are respected since these countries may not have comprehensive data protection and other laws as countries in the EEA.
- Where a financial adviser acts on my behalf, Premier will disclose information concerning my investment to that financial adviser.
- Save as noted above, Premier will not provide to any other third party any information relating to me, unless I have given my consent or unless Premier is required to do so by law.

You are entitled to request details of information we may hold about you and to require us to correct any inaccuracies in your personal data.

#### Additional declaration for trustees only

We appoint Premier under the power and authority given to us by the Trust Deed and we delegate to Premier Fund Managers Limited the investment of the Trust property delivered to Premier Fund Managers Limited from time to time under the terms of the Agreement. We hereby represent and warrant that we are empowered by the said Trust Deed to delegate our function in the manner described above.

I declare that this Application Form has been completed to the best of my knowledge and belief.

**Please submit a certified copy of the Trust Deed and signatory list, and a copy of the Tax Residency Self-Certification form with this application in order for us to verify the signature(s) of the Trustee(s). If an application is for a trust investment, we may need to verify the identity of all trustees, depending on the Trust Deed.**



**Declaration to be signed by all Applicants/Trustees**

1st Applicant/Trustee

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Name:

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Signature:

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Date:

2nd Applicant/Trustee

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Name:

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Signature:

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Date:

3rd Applicant/Trustee

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Name:

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Signature:

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Date:

4th Applicant/Trustee

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Name:

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Signature:

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Date:



## Data Protection Notice

This notice sets out how Premier Fund Managers Limited ("PFM", "we" or "us") will process personal information (as a Data Controller)

Where your details are provided to PFM as a consequence of your engaging PFM to provide the Premier Portfolio Management Service, including investment in the Premier Funds (the "Funds"), then PFM, acting as a data controller may itself (or through a third party such as SEI Investments (Europe) Limited (the "Custodian") acting in its capacity as your custodian) process your personal information or that of your representatives, such as trustees, beneficial owners, or directors. When processing your personal information, there may also be times where the Custodian will act as a data controller.

To the extent that the Custodian is required by applicable laws to act as a data controller in processing your personal data, the Custodian's privacy notice is on its website: [www.seic.com/en-gb](http://www.seic.com/en-gb)

Please note the following:

### Purposes of Processing and Legal basis for processing

Your personal data may be processed by PFM or the Custodian (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

- To facilitate the opening of your account with PFM, the management and administration of your investments in the Premier Portfolio Management Service, including the Funds, or otherwise and any related account on an on-going basis (the "Services") which are necessary for the performance of your contract, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;
- In order to carry out anti-money laundering checks and related actions which PFM considers appropriate to meet any legal obligations imposed on PFM or the Funds relating to, or the processing in the public interest or to pursue PFM or the Funds' legitimate interests in relation to, the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with PFM's anti-money laundering procedures;
- To report tax related information to tax authorities in order to comply with a legal obligation;
- To monitor and record calls and electronic communications for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend PFM or the Funds and its affiliates', itself or through third parties to whom it delegates such responsibilities or rights in order to comply with any legal obligation imposed on PFM or the Funds, (v) to pursue PFM's or the Funds' legitimate interests in relation to such matters or (vi) where the processing is in the public interest;
- To disclose information to other third parties such as service providers of PFM or the Funds, auditors, regulatory authorities and technology providers in order to comply with any legal obligation imposed on PFM or the Funds or in order to pursue the legitimate interests of PFM or the Funds;
- To monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of PFM or the Funds to improve service delivery;
- To update and maintain records and fee calculation;
- To retain AML and other records of individuals to assist with the subsequent screening of them;

and which are necessary to comply with PFM's or the Custodian's legal obligations and/or which are necessary for PFM's or the Custodian's legitimate interests indicated above and/or the processing is in the public interest.

### Recipients of Data and International Transfer of Data

We may disclose your personal information as follows:

- To service providers, including the Custodian, and their affiliates, and other third party service providers engaged in order to process the data for the above mentioned purposes;
- To competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting; and

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside the European Economic Area (EEA) in accordance with the requirements of the General Data Protection Regulation. Such countries may not have the same data protection laws as your jurisdiction. We have authorised the Custodian as our agent to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred. Please contact us and we will contact the Custodian for copies of the Standard Contractual Clauses.

### Retention period

We and the Custodian will retain your personal information for as long as required for us or the Custodian to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate the retention of your personal information.



### Data Subject Rights

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information.
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).

Where we or the Custodian require your personal information to comply with AML or other legal requirements, failure to provide this information means we may not be able to accept you as a client of the Premier Portfolio Management Service.

You have the right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by us or the Custodians or our service providers infringes the General Data Protection Regulation. In the UK this is the Information Commissioner's Office.

### How to contact us

If you have any questions about our use of your personal information, please contact us on 0333 456 1122, or email [investorservices@premiermiton.com](mailto:investorservices@premiermiton.com), or in writing to the Data Protection Officer at Premier Fund Managers Limited at Eastgate Court, High Street, Guildford, Surrey, GU1 3DE.

#### Contact us

Premier Fund Managers Limited, Eastgate Court, High Street, Guildford, Surrey, GU1 3DE

Tel: 0333 456 1122

[investorservices@premiermiton.com](mailto:investorservices@premiermiton.com)

For your protection, calls may be monitored and recorded for training and quality assurance purposes.

