

Cash ISA transfer

firstdirect.com
03 456 100 100

first direct

Useful guidance

If you want to transfer existing Cash ISAs to a **first direct** Cash ISA please complete sections 1 and 2.

If you want to transfer existing Stocks and Shares ISAs to a **first direct** Cash ISA please complete sections 1 and 3.

If you want to transfer both existing Cash ISAs and Stocks and Shares ISAs to a **first direct** Cash ISA please complete sections 1, 2 and 3.

Please ensure you sign and date the declarations on pages 2, 4 and 7 of this form.

1. Transfer Request

Personal details

For more details on how we use your information please see our Privacy Notice Overview section which can be found at firstdirect.com/privacy

It is important that you complete this form to enable us to process your application. Please complete in black ink and use **BLOCK CAPITALS**. In other cases please tick clearly the boxes required.

If you need any assistance with the completion of your application call us on **03 456 100 100†**.

Title

Full permanent address

Forename(s)

Surname

Date of birth (dd/mm/yyyy)

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Postcode

Do you have a National Insurance Number?

If 'Yes', please add it to the box provided.

Yes

No

National Insurance Number (eg AB123456C)

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

A temporary National Insurance Number may be issued, for example where yours has been lost, or if you have recently returned from a period abroad. These are usually issued in the format TN999999M or 99Y99999. If you have a temporary National Insurance Number, please complete this form as if you do not have a National Insurance Number.

Power of Attorney

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.

Name

If you are signing this application under a Power of Attorney or other Authority for an investor who is incapacitated, please indicate the nature of the incapacity:

Mental

Physical

Declaration and Agreement

I apply to subscribe to a **first direct** Cash ISA for the tax year commencing 6 April 2019 and each subsequent tax year until further notice. (This election simply makes it easy for you to subscribe to each subsequent tax year's ISA - it's not a commitment on your part to subscribe each year.)

I declare that:

- I am 18 years of age or over
- All subscriptions made, and to be made, belong to me
- 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 and 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 **first direct** if I cease to be so resident or to perform such duties or be married to, or in civil partnership with, a person who performs such duties
- I have not subscribed and will not subscribe more than the overall subscription limit in total to any combination of permitted ISAs in the same tax year
- I have not subscribed and will not subscribe to another Cash ISA in the same tax year as I subscribe to this Cash ISA
- I've received a copy of the Cash ISA Key Facts and I agree to the Cash ISA Terms and Conditions
- Any information provided in respect of this application has been completed to the best of my knowledge and belief and I will notify **first direct** without delay of any changes in my circumstances affecting any of the information given in this application. Where information I have provided relates to other people, I declare I am authorised by them to disclose that information and to accept the terms on their behalf
- I have received a copy of the UK Financial Services Compensation Scheme (FSCS) Information Sheet and Exclusions List.

I authorise **first direct**:

- To hold my cash subscription and any interest earned by those subscriptions
- To make on my behalf, any claims to relief from tax in respect of ISA investments.

Signed

Date (dd/mm/yyyy)

†Text-phone **03 456 100 147** or if calling from abroad **+44 113 234 5678** (Text Relay **+44 151 494 1260**).

For more information on contacting us via BSL video relay service visit [firstdirect.com/contact-us](https://www.firstdirect.com/contact-us)

Because we want to make sure we're doing a good job, calls may be monitored and/or recorded, we hope you don't mind.

first direct is a division of HSBC UK Bank plc which is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority under reference number 765112. Registered in England under number 9928412. Registered office: 1 Centenary Square, Birmingham B1 1HQ.

2. ISA Transfer Authority Form

firstdirect.com
03 456 100 100

first direct

Complete for the transfer of Cash ISAs only

Your Information

If you need any assistance with the completion of your application call us on 03 456 100 100†.

Title

Forename(s)

Surname

Date of birth (dd/mm/yyyy)

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National Insurance Number (eg AB123456C)

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Full permanent address

Postcode

Details about the cash ISA you want to transfer

Name of existing ISA Manager (eg Bank or Building Society)

ISA roll number/reference (if applicable)

ISA sort code

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ISA number

The ISA Regulations state that current tax year subscriptions to a Cash ISA must be transferred as a whole. Partial transfers of current tax year subscriptions to a Cash ISA are not allowed.

Have you subscribed this tax year, into the ISA you are transferring?

Yes

No

Do you want to transfer current tax year subscriptions to **first direct**?
(funds added to the ISA you're transferring since 6 April)

Yes

No

If 'Yes' please confirm how much you have subscribed this tax year

£

p

Do you want to transfer previous years' subscriptions?

Yes

No

Do you want to transfer the full amount of previous years' subscriptions?

Yes

No

If you ticked 'No' please confirm the amount to be transferred

£

p

Your Transfer Authority (please sign and date)

I authorise my existing ISA provider (as specified overleaf) to transfer the ISA (account number overleaf) to **first direct**. I authorise my existing ISA Manager to provide **first direct** with any information, written or verbal, concerning the Cash ISA and to accept any instructions from them relating to the Cash ISA being transferred.

Where a period of notice is required for closure/part closure of the existing Cash ISA, I give my consent to either: (tick the appropriate box)

1. Serve the full notice period before this instruction can be processed

or

2. Proceed immediately with the transfer bearing any consequential penalty which may be applied

Signed

Date (dd/mm/yyyy)

Transfer acceptance (to be completed by new ISA provider)

In circumstances where the customer has shown above that they want to transfer subscriptions from the current tax year, these must not be more than

£

p

Otherwise we, **first direct** are willing to accept this investor's Cash ISA funds, subject to HMRC rules (the ISA regulations)

Date (dd/mm/yyyy)

Name and address: **first direct**, 40 Wakefield Road, Leeds LS98 1FD

†Text-phone **03 456 100 147** or if calling from abroad **+44 113 234 5678** (Text Relay **+44 151 494 1260**).

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3. ISA Transfer Authority Form

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Complete for the transfer of Stocks and Shares ISAs only

Your Information

If you need any assistance with the completion of your application call us on 03 456 100 100†.

Title

Forename(s)

Surname

Date of birth (dd/mm/yyyy)

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National Insurance Number (eg AB123456C)

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Full permanent address

Postcode

Details about the Stocks and Shares ISA you want to transfer

Name of existing ISA provider

ISA roll number/reference

Address of existing ISA provider

Please note

Some stocks and shares ISA products do not allow only part of an ISA to be transferred, or may place conditions on how such a transfer is undertaken, eg when deciding which investments are sold to facilitate the transfer.

Your existing ISA provider may need you to give them specific information before the transfer can go ahead.

There may be outstanding fees to pay before the transfer goes ahead.

If you are not sure what conditions apply please check with your existing stocks and shares ISA provider before completing this form.

please turn over...

Q1 Do you want to transfer all or part of this Stocks and Shares ISA?

All Part

If you answered 'All' to **Q1** this will result in all investments currently held being sold. The sale proceeds, together with any uninvested cash currently held in the ISA, will be transferred to your new provider in its entirety.

Q2 Have you subscribed to this Stocks and Shares ISA in the current tax year?

Yes No

If you answered 'All' to **Q1** please go directly to the **Transfer Authority** section below.

If you answered 'Part' to **Q1** please answer questions **Q3-5** below.

Q3 If you answered 'Yes' to **Q2** do you want to transfer your current tax year ISA subscription? (this would involve selling any investments made with the subscription from the current tax year)

Yes No

Please note that the amount in your account representing current tax year subscriptions can only be transferred in whole and not in part.

Q4 If you only want to transfer your subscriptions from the current tax year, tick here

Or If you only want to transfer all of your subscriptions from previous tax years, tick here

Or If you only want to transfer some of your subscriptions from previous tax years (as well as investments relating to current year subs if you answered 'Yes' to **Q3** tick here and provide sales instructions in **Q5**

Q5 Stocks, Shares and/or Funds that you wish to sell

Please check your selection is permitted by your existing Stocks and Shares ISA provider prior to submitting the form. Please note that you may be contacted by your existing ISA provider to agree what to sell.

Please use the box below to give instructions to your current Stocks and Shares ISA provider to specify the value or Tax Year(s) that should be transferred and/or what investments should be realised to meet the transfer.

If needed, please list all investments you hold with the above ISA provider that you wish to sell and transfer the proceeds to your new Cash ISA. You can also supply a separate list, eg by annotating a valuation statement from your provider.

Description

Units

Value or specify 'A' to sell the entire holding

Q5b Stocks, Shares and/or Funds that you wish to sell

Please say how much of your uninvested cash balance in your stocks and shares ISA you want to transfer

£ p

Or If you want to transfer all of your uninvested cash balance, tick here

Your Transfer Authority (please sign and date)

I authorise my existing ISA provider as specified above to transfer the ISA (account number above) to my new Cash ISA provider.

I authorise my existing ISA provider to provide my new Cash ISA provider with any information, written or non-written, concerning the Stocks and Shares ISA and to accept any instruction from them relating to the stocks and shares ISA being transferred.

Where I must give notice to close or transfer part of the existing Stocks and Shares ISA, or the existing Stocks and Shares ISA contains an investment which is designed and intended to be held for full term and has yet to reach redemption, I instruct my existing ISA provider to either:
(tick the appropriate box)

1. Wait for the full notice period to end, or wait until redemption (whichever is relevant) before going ahead with this transfer

or

2. Depending on the terms and conditions, carry out the transfer as soon as possible - I will accept any consequential loss of income, or charges that may be applied.

Signed

Date (dd/mm/yyyy)

Transfer acceptance (to be completed by new ISA provider)

In circumstances where the customer has shown above that they want to transfer subscriptions from the current tax year, these must not be more than

Otherwise we, **first direct** are willing to accept this investor's Cash ISA funds, subject to HMRC rules (the ISA regulations)

Date (dd/mm/yyyy)

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