

# BARCLAYS WEALTH

## Woolwich Plan Managers Limited

### Fixed Income Bond – June 2009 Edition and July 2009 Edition

### Application form for a direct investment, 2009/10 Stocks and Shares ISA and ISA Transfers only

This Application Form, together with the brochure for the Fixed Income Bond - June 2009 Edition and July 2009 Edition ("this Product") (the "Brochure") issued by Woolwich Plan Managers Limited ("we", "us", "our(s)"), including the terms and conditions contained in the Brochure (the "Terms"), any other terms and conditions that we agree with you in writing concerning this Product, and any information made available on applicable charges, commissions, tariffs and interest rates, sets out a legal agreement (the "Agreement") which seeks to define the basis on which we will provide you with this Product. Except where stated otherwise, your point of contact with us in connection with this Product is your Adviser (whose name and contact details are supplied to you).

The law favours written agreements, so it is important you read the documents setting out the Agreement carefully, to ensure they contain everything you want, and nothing you are not prepared to agree. You should ensure you have been provided with all the documents setting out the Agreement and keep a copy of these in a safe place for future reference. If you have any queries or concerns, please contact us (for contact details, please refer to the Brochure).

#### Applications must be received by Woolwich Plan Managers before 5pm:

- **For June Edition:** On 16 June 2009 (to transfer existing ISAs) On 30 June 2009 (Direct (outside an ISA) Investment

- **For July Edition:** 20 July 2009 (to transfer existing ISAs) On 5 August 2009 (Direct (outside an ISA) Investment

To apply for this Product: (1) Please complete this Application Form clearly, in BLOCK CAPITALS using a black ballpoint pen, ensuring that all applicable signature blocks are duly signed and dated; and (2) Once this Application Form has been completed, please return it to us at the following address: Woolwich Plan Managers, PO Box 9283, Brentwood, Essex CM14 9AQ.

### Section 1 - Personal details

We must comply with legislation regarding money laundering, so may ask you to provide documents evidencing your identity.

#### A. 1st Applicant

Title Mr  Mrs  Miss  Ms  Dr

Other title  Male  Female

First name(s)

Surname

Permanent residential address

Postcode

Date of birth    /

Citizenship/nationality

Country of permanent residence

Telephone

Email

Do you have a National Insurance (N.I.) number?<sup>1</sup>

Yes  No

If yes, please give details

<sup>1</sup>If you have been issued with an N.I. number, you should be able to find it on a payslip, Form P45, Form P60, a letter from HM Revenue & Customs or the Department of Work and Pensions, or a pension order book. If, however, you have not been issued with an N.I. number, we may still start to provide this Product, but it will not be eligible for investment inside a stocks and shares ISA.

#### B. 2nd Applicant<sup>2</sup>

Title Mr  Mrs  Miss  Ms  Dr

Other title  Male  Female

First name(s)

Surname

Permanent residential address

Postcode

Date of birth    /

Citizenship/nationality

Country of permanent residence

Telephone

Email

<sup>2</sup>This Section 1B is relevant for investments to be made jointly. It should not be completed if you wish to invest in this Product inside a stocks and shares ISA, since the ISA Regulations provide that investments inside an ISA may only be held individually, and not jointly.

## Section 2 – Investment mandate

Please note you should apply by 30 June 2009 for your application to be included in the June 2009 Edition. If we receive your application after this date but before 5 August 2009 it will be placed in the July 2009 Edition.

Please indicate which option you wish to invest in (you may select only one option):

Quarterly Income  Annual Income

Please indicate how you wish to invest in this Product (tick as appropriate):

(A) Outside of an ISA  (B) Inside a Stocks and Shares ISA for the current 2009/10 tax year   
(minimum investment £25,000, maximum investment £500,000) (minimum investment £7,200, maximum investment £7,200)

I apply to subscribe the following amount as a direct investment: £

I apply to subscribe the following amount as a 2009/10 Stocks and Shares ISA: £

**A minimum ISA transfer of £25,000 must be transferred in conjunction with your new 2009/10 Stocks and Shares ISA amount to transfer an existing ISA (Please complete section 6).**

(C) Total investment   
(sum of A and B)

## Section 3 - Income/Maturity payment details

Please fill in your bank/building society account details below. This will allow us to directly credit your account with the quarterly or annual income, and to return your initial investment after maturity. Please inform us immediately of any change to your bank account details.

Name of Bank or Building Society

Name of account holder

Branch Sort Code  -  -

Bank or Building Society account number

## Section 4 – Appropriateness

**You only need to complete this section if you have not received a personal recommendation from a financial adviser to buy this product**

- |   | Yes                      | No                       |
|---|--------------------------|--------------------------|
| 1. Do you work in the financial services sector and do your activities relate to this type of investment or if not, do you have more than one year's experience of investing and have you invested in a product similar to this one during the last year?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Do you understand the amount of income you will receive and when it is paid?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Do you understand the expressions 'capital protection' or 'capital protected'?   | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Do you understand that these types of investments are designed to be held for a fixed period and you should have enough spare money to cover unexpected emergencies? If you decide to sell your investment before maturity, you are likely to get back less than you invested due to interest rate movements and/or charges. | <input type="checkbox"/> | <input type="checkbox"/> |

## Section 5 – Personal Declaration

The Agreement is our standard client agreement for this Product upon which we intend to rely. For your own benefit and protection, you should read all the documents setting out the Agreement before signing this Section 5, which documents include the Brochure, the Terms contained in the Brochure and the Application Form. If you do not understand any point, please ask for further information;

By signing this Section 5, you agree, confirm and declare the following:

- (A) Any information you have provided to us for the purposes of establishing the arrangements contemplated by the Agreement (including as to your status, residence and domicile for tax purposes) is complete and correct in all material respects. You will notify us promptly if there is any material change to this information and will provide any further information that we reasonably request in order for enable us to perform the Agreement or comply with all applicable law or regulation. Failure to do so may adversely affect the quality of the service that we are able to provide;
- (B) Local regulations prevent certain products and services from being made available in certain jurisdictions; we will not be able to supply this Service where local regulations prohibit us from doing so. You are not resident in Australia, Canada, Japan, Malaysia or the US, and will immediately notify us if you become resident, whether permanently or temporarily, in any of these countries; please note that we may need to terminate this Service if you become so resident;
- (C) If you wish to invest in this Product inside a stocks and shares ISA:
- You authorise us to act as ISA manager and, in particular, to:
    - Hold in your ISA: Cash and ISA investments, together with any interest, dividends and any other rights or proceeds arising in connection with such cash and ISA investments;
    - Make on your behalf any claims to relief from tax in respect of your ISA, and provide HM Revenue & Customs ("HMRC") with any particulars of your ISA as HMRC may request;
    - On your written request, transfer to another ISA manager, or pay you, the contents of your ISA; and
    - Act as principal or agent in selling investments to, or buying investments from, your ISA;
  - You are 18 years of age or over;

- (c) All subscriptions/transfers made, and to be made, belong to you. You will inform us promptly if any amount paid into your ISA does not belong to you;
- (d) You have not subscribed, and will not subscribe, more than £7,200 in total to a cash ISA and a stocks and shares ISA in the same Tax Year;
- (e) You have not subscribed, and will not subscribe, to another stocks and shares ISA in the same Tax Year as you subscribe to this stocks and shares ISA;
- (f) You are 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 and Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or you are married to, or in a civil partnership with, a person who performs such duties. You will inform us if you 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;
- (g) You wish us to manage the cash and investments transferred to us pursuant to this Application Form in each Tax Year until further notice and in accordance with the instructions in the Agreement;
- (h) Relevant only if this Section 5 is being signed by an Authorised Representative acting on behalf of the investor in the ISA:  
The signatory to this Section 5 is the legally appointed representative of the investor in the ISA, by authority granted by (tick as appropriate):  Guardianship;  Power of Attorney  Appointment under Court Order  
 Continuing Power of Attorney  Enduring/lasting Power of Attorney

(D) Your information

- (a) We and other members of the Barclays Group may:
  - (i) Make and perform credit reference, identity, electoral register, fraud, money laundering, and other enquiries and searches in respect of you;
  - (ii) Disclose your full account information to credit reference agencies, fraud prevention agencies and insurance companies. Credit reference agencies will maintain a record of our searches and the information which we provide them. If you give us false or inaccurate information, or we suspect fraud, we will record this with fraud prevention agencies. Such records and information may then be used by members of the Barclays Group and third parties: to make decisions on you or other members of your household on credit, motor, household, life and other insurance facilities (including handling any claims); for debt tracing; and to prevent fraud and money laundering. Records held by credit reference agencies may be linked to records about persons financially associated with you, which may be taken into account when assessing applications;
  - (iii) In order to make payments from your account(s), send the details of any such payment (including information relating to those involved in the payment) abroad, where they may be accessible by overseas regulators and other authorities in connection with their legitimate duties (e.g. the prevention of crime);
  - (iv) Collect and use information about you as set out in Clause 28 of the Terms, including: collecting and using information about how you use and manage your accounts (e.g. transactions made); transferring your information within the Barclays Group or to service providers located in the UK or overseas; and using information relating to your medical, health, lifestyle, and ethnic background, and to criminal offences (alleged or otherwise), for the purposes of administration and of product and service identification; and
  - (v) Relevant only if there is more than one applicant: update records held by members of the Barclays Group or third parties on any applicants, using information given at any time by any of the other applicants; and make and perform the enquiries and searches in Section 5(D)(a)(i) on any applicants if any of the other applicants at any time request a loan or increased lending;
- (b) Under data protection legislation, you can request certain information about you by writing to us; a fee may be charged for this service, as permitted by appropriate law or regulation; and
- (c) We may record and monitor telephone calls, for your protection and ours, to check instructions and to ensure that we are meeting our service standards.

**Marketing preferences**

From time to time, we and other members of the Barclays Group would like to keep you up-to-date about products and services which we think you will find useful. As we are concerned about the environment, our aim is to use email instead of mail whenever practical. Please tick the following box if you would prefer not to benefit from these communications:

**Signature: 1st Applicant<sup>3,4</sup>**

Date   /   /

**Signature: 2nd Applicant<sup>5</sup>**

Date   /   /

<sup>3</sup> As detailed in Section 1A.

<sup>4</sup> If this Section 5 is being signed by an Authorised Signatory acting on behalf of the investor in the ISA, evidence of your legal entitlement to sign will need to be provided, together with your name and other details

<sup>5</sup> As detailed in Section 1B.

To receive details of those fraud prevention agencies from whom we obtain and with whom we record information about you, contact the Barclays Information Line on 0800 400 100. If calling from outside the UK, please call +44 (0)247 6842 100. Lines are open 7:00 am to 11:00 pm (GMT). Calls may be recorded so that we can monitor the quality of our service and for security purposes.

# Fixed Income Bond – June 2009 Edition and July 2009 Edition

## Section 6 – ISA transfer instruction to your current ISA manager

Applications to transfer existing ISAs (either in full or in part) must be received by Woolwich Plan Managers before 5pm on 16 June 2009 (for June 2009 Edition) or 20 July 2009 (for July 2009 Edition). (Not available to joint account applicants)

Title Mr  Mrs  Miss  Ms  Dr   
Other title  Male  Female   
First name(s)   
  
Surname   
  
Postcode   
Account Manager   
ISA account number   
Address of your current ISA manager   
  
Postcode

Please note that with effect from 6 April 2008, PEPs have been reclassified as ISAs.

Please check with your existing provider to see if there are any penalties for or restrictions on such transfers. All transfers we receive will be classified as Stocks and Shares ISAs. If you transfer from a Cash ISA you will not be able to transfer back to a Cash ISA at a later date. Furthermore, if you wish to transfer a 2009/10 ISA only a full transfer will be permitted. Partial transfers are permitted for ISAs from previous years.

Please indicate which option you wish to invest in (you may select only one option):

Quarterly Income

Annual Income

Please complete A and /or B as required.

A. Do you wish to transfer your 2009/10 ISA? Yes  No

If yes, approximate transfer being transferred £

B. ISAs from previous years to be transferred?

(i) Full Yes  No

If yes, approximate transfer being transferred £

(ii) Partial\*\*\* Yes  No

If Yes, please state percentage and approximate value being transferred

%  £

\*\*\*You may wish to check with your current ISA manager that partial transfers are allowed. Additionally you may use the box below to give further instructions to your current ISA manager with regard to what specific amount or tax years should be transferred and/or what investments should be realised to meet the transfer.

The aggregate total transfer from A and B must be over £25,000.

I request you to sell the appropriate investments held in my account, as detailed above, and send a cheque(s) for the proceeds to: **Woolwich Plan Managers, PO Box 9283, Brentwood, Essex CM14 9AQ.** Only action my request to transfer if proceeds will be sent by **12 August 2009.** Cheques should be made payable to 'Barclays Investment Plans'.

Signature

Date

If you wish transfer an ISA from an other manager in addition to the above, please copy and complete this section or use the 'Supplementary ISA transfer form'

## Section 7 – Payment details

Name of person(s) providing funds  (must be completed)

### Payment by cheque

I enclose a cheque for £  (from Section 2C, made payable to 'Barclays Investment Plans')

ManCo 12

### Or, payment from a Barclays current account

Account holder name

Bank  Barclays Bank PLC

Branch sort code  2  0 -   -   Account number

Branch address

Postcode

Amount  £  (from Section 2C)

ManCo 12



**Adviser section - Please complete all sections**

Company name	<input type="text"/>
Company FSA 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"/>
Adviser name	<input type="text"/>
Adviser FSA 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"/>
Telephone	<input type="text"/>
Commission given up	<input type="text"/> %
Money laundering certificate (or equivalent) attached	<input type="checkbox"/>

This item can be provided in Braille, large print or audio by calling 0800 400 100\* (via TextDirect if appropriate).

\*Lines are open 8am to 8pm UK time Monday to Friday and 9am to 5pm UK time Saturday and UK bank holidays. Calls to 0800 numbers are free if made from a UK landline. Other call costs may vary – please check with your telecoms provider.

Calls may be recorded so that we can monitor the quality of our service and for security purposes.

Under Data Protection legislation you have a right of access to certain personal records. Should you wish to exercise this right, please write to your account-holding centre. A fee will be charged for this service.

Woolwich Plan Managers Limited is authorised and regulated by The Financial Services Authority. FSA Number: 183887. Woolwich Plan Managers is registered in England, Registered Number 3230386. Registered Office: 1 Churchill Place, London E14 5HP. Correspondence address: PO Box 9283, Brentwood, Essex CM14 9AQ

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