RAYMOND JAMES® INVESTMENT SERVICES

STOCKS AND SHARES ISA APPLICATION FORM

FORM 200

Adviser Details

RJIS Head Office Use Only

Location code		Executive code		Adviser		Account reference RK

Please complete all sections electronically or in BLOCK capitals using blue or black ink.

Account Title

Personal Details

Title	
Surname	
Forename(s)	
Date of birth *(dd-mm-yyyy)*	
Permanent residential address	
Contact telephone number/s *(home, business, mobile)*	H
	B
	M
Fax number	
Email address	
Nationality	
Do you have a National Insurance number*?	☐ No ☐ Yes (if yes, please specify below)

*Your National Insurance number can be found on your National Insurance Card, payslip, form P45 or P60, pension order book, or letters from HM Revenue and Customs or Department for Work and Pensions

Subscription

Please indicate how you would like to subscribe to your ISA.

☐	I enclose a cheque for	£	made payable to Pershing Securities Limited.		
☐	Please transfer	£	from my personal account **RK**		to my ISA.

Please notify your Adviser if you would like to sell an existing holding to subscribe funds.

Dividends and Interest (*tick one box only*)

All investment income will be paid to the primary bank / building society details or held on the account as indicated below.

Currency

All dividends, interest, redemptions and corporate actions will be paid in GBP.

☐ Paid monthly	☐ Paid quarterly (March, June, Sept, Dec)	☐ Paid half yearly (June, December)
☐ Paid yearly (December)	☐ Reinvested[1] (into ISA dealing account)*	

*Periodic income *(optional)*

Income reinvested into the dealing account may be paid out on a periodic basis. If there are insufficient funds to make a payment, the entire payment will fail and no funds will be sent.

[1]Reinvest into ISA dealing account means that the income will be deposited into the ISA dealing account for reinvestment by your Adviser.

£	per month on the		day of the month.	£	per quarter from start date	

Verification

☐ Tick here if you have an existing account with RJIS and have previously provided identification documentation. Additional identification may not be required. Account reference **RK**

Primary Bank / Building Society Details

Bank name		Branch	
Account title		Account number	
Sort code		Building society roll no (if applicable)	

These bank details must be in the exact same name as the Raymond James Investment Services (RJIS) Account Holder. These will be the primary bank details on your account. To establish additional bank details, see your Adviser for the Bank Details Add/Change Form. RJIS policy is to only establish bank details where funds are being sent to a bank account in the same name as the RJIS account. Please note that in order to change the bank details on this account, RJIS will require an instruction signed by the authorised signatories to the account.

Administrative Arrangements *(tick one box only)*

Do you wish your ISA to be managed as part of your personal account or as a separate account?

- ☐ As part of my personal account. *If one Strategy Assessment applies across your personal account, please proceed directly to the Declaration section on the final page. If a separate investment strategy applies to your ISA, please continue.*
- ☐ As a separate account. *Please complete all remaining sections.*

Service Level * *(tick one box only)*

☐ Managed Discretionary ☐ Advisory Portfolio Service ☐ Advisory Dealing Service ☐ Execution Only

* Please refer to our Terms of Business for definitions of service levels.

Investment Strategy *(Managed Discretionary and Advisory Portfolio Service accounts only - tick one box)*

All managed or advisory accounts must complete and attach the document Your Investment Strategy to answer this question, without which your account cannot be opened. Your Adviser will explain the specific characteristics of these strategies. Please refer to the table in Your Investment Strategy for the characteristics of these strategies.

☐ Liquidity ☐ Conservative ☐ Balanced ☐ Growth ☐ Aggressive

Reporting

☐ As per my personal account

Statements

All accounts will receive an annual custody statement that confirms the securities which are held in nominee name on your behalf. The statement records all cash transactions during the reported period, excluding stock transfers and corporate actions if no cash was involved. Statement values are reflected in GBP. Please discuss with your Adviser if you would like a more frequent statement.

Valuations

Valuations are provided for Discretionary and Advisory Portfolio Service accounts, and are prepared quarterly at the end of March, June, September and December, or half yearly at the end of June and December. How often would you like to receive your valuation?

☐ Quarterly (March, June, September, December) ☐ Half Yearly (June, December)

Managed Discretionary clients only

Contract Notes

If you have chosen 'Managed Discretionary' in the Service Level section, contract note details will be provided within your Valuation at the frequency you have requested above. If in addition you should wish to receive a separate contract note for each trade that your Adviser has executed on your behalf, please tick below.

☐ Yes, please provide a contract note for every trade executed on my/our behalf

Copies of Statements, Valuations and Contract Notes

I authorise RJIS to post copies of ☐ Statements* ☐ Valuations* ☐ Contract Notes* to the following third party:

* please tick as appropriate

Name	
Address	

Benchmark (*Managed Discretionary Accounts only*)

☐ As per my personal account

In order for you to be able to assess the performance of your portfolio we establish a benchmark against which we compare your portfolio's performance. The benchmark depends on your investment strategy, and is specified below. You adviser will give you any further information that you require in this regard.

Please specify below whether this Benchmark applies to your portfolio, and/or individual accounts.

Portfolio		Individual accounts - please specify below			
Benchmark		ISA Account	☐	Benchmark	
Benchmark		Notes			
Benchmark					
Benchmark					
Benchmark					

Types of Investment (*Managed and Advisory Accounts only*)

☐ As per my personal account

Your adviser will include the following types of investment in your portfolio unless you specify otherwise:

Bonds and Equities, including Bond and Equity funds

In addition, please specify below if you would like your adviser to consider including the following in your portfolio:

"Wider-range" Investments (e.g. certain UCITS or investment trusts providing they are ISA eligible; please refer to HMRC for guidelines on eligible investments)	For inclusion in portfolio	Y ☐ N ☐	

Please refer to the table in Strategy Assessment for specific characteristics of above types of investments.

Third Party Instructions

I/We authorise RJIS to accept any and all instructions, as described in the Instructions section in the *Terms of Business*, from any one of the undermentioned parties.

	First authorised third party	Second authorised third party
Title		
Surname		
Forenames		
Address for identification purposes		
Contact telephone number		
Fax number		
Email address		
Relationship to account		
Signature of authorised third party		

☐ Tick here to give us authorisation to send copies of statements and contract notes to this third party.

Exclusion of Types of Investments, Countries of Issue or Markets

I instruct my Adviser to exclude the following types of investments, countries of issue or execution markets from my portfolio.

Declaration

I apply to subscribe to an RJIS Stocks and Shares ISA, as stated above for the 20 ☐ / 20 ☐ tax year and each subsequent year until further notice.

I declare that:

- All subscriptions made, and to be made, are from my own funds;
- I am 18 years of age or over;
- 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 have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA and stocks and shares ISA in the same tax year
- I am resident and ordinarily resident in the United Kingdom for tax purposes or, if not a resident, either perform duties which, by virtue of Section 28 of 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 civil partnership with a person who performs such duties and will inform RJIS if I cease to be resident and ordinarily resident to perform such duties, or be married to or in civil partnership with, a person who performs such duties.

I authorise RJIS:

- To hold my cash subscriptions, 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, and
- On my written request to transfer or pay to me, as the case may be, ISA investments, interest, dividends and any other rights or proceeds in respect of such investments or cash.

I have read this form and to the best of my knowledge, the information I have provided is correct. I undertake to notify RJIS of any significant or material changes. I understand that these objectives should be reviewed regularly. I confirm that I have received and read the RJIS *Terms of Business* and my Adviser's *Schedule of Fees and Commissions*.

I understand that this ISA Application Form, together with the ***Terms of Business***, my Adviser's ***Schedule of Fees and Commissions*** and ***Strategy Assessment*** will comprise my formal agreement between me and RJIS.

By completing and signing this form, I provide my consent for RJIS to validate my personal identification and verify my address internally or through a third party external firm providing the services electronically to RJIS. I also agree for RJIS to obtain a report on me for anti-money laundering and fraud prevention purposes.

Account Holder

Full name (please print)			
Signature		Date	

RJIS Adviser

Full name (please print)			
Signature		Date	

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