

Flexible Stocks & Shares ISA Application



To open an EQi Flexible Stocks & Shares ISA please login to your EQi account or complete and sign this application form and return it, along with any enclosures required. Please read this form in conjunction with the EQi Terms and Conditions which may be found on our [website](#).

If you have any questions about this form please call our Customer Experience Centre on **0345 0700 720**.

Please complete all fields in this form (where applicable).

Section A: Account Details

If you already have a Dealing Account, please write the account number here:

Title Mr Mrs Miss Ms Other

First name(s)

Last name

Date of birth

Day Month Year

Telephone number

Email address

Country and town of birth

Mother's maiden name

Postal address

Tax Residence details:

Country of tax residence

National Insurance number

I have no National Insurance number/Tax Identification number

If you do not have a National Insurance number/
Tax Identification number, please indicate why

Additional country of tax residence (1) (2)

Taxpayer Identification number (1) (2)

Are you a United States Green Card holder? Yes No

Nationality details:

Please disclose your nationality details, by completing the country of each (up to three) in the boxes below.

Primary nationality details:

If you have **sole UK nationality**, you do not need to complete this part. For all other customers, you will need to establish your primary nationality and complete the relevant National Identifier & National ID Code for this in the box below, according to the instructions in the **Appendix** (at the end of the form) or using www.nationalitycalculator.co.uk.

National Identifier

National ID Code

Tick if unable to provide

First priority

Second priority

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Section B: Employer Contract Notes

Does your employer need copies of your contract notes?

Please note: we can only issue one copy contract note per account

Yes

No

If so, please provide your employer's details (including contact name, UK office address and postcode).

Section C: Banking Details

You must set up a Direct Debit to us from your nominated bank account by filling in this section. This will allow you to pay money into your account and allow us to transfer any income you receive from dividends and proceeds from sales to your bank account. The nominated bank account provided must be held in the name of the applicant.

Setting up regular payments

Do you want to make regular payments from your bank account into your EQi account?

Yes

No

If Yes, please choose one of the dates you would like payments to be debited from your bank account each month

1st

15th

If the regular payment date falls on a non-working day, the payment will be collected on the next working day.

Amount that you would like to transfer each month

£

Instruction to your bank or building society to pay by Direct Debit

Service User Number

Name and full postal address of your bank or building society:

8 3 8 5 1 0



To: The Manager

Service User Reference (if applicable)

EQi

Bank/Building Society address

Bank/Building Society

Instruction to your bank or building society

Please pay Equiniti Financial Services Limited, trading as EQi ("EQi"), Direct Debits from the account detailed in this instruction, subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with EQi and, if so, will be passed electronically to my bank/building society.

Braille, Electronic and Wet signatures are acceptable for agreement to the Direct Debit Guarantee.

Signature

Postcode

Name of account holder(s)

Print name

Bank/Building Society account number

Date

Branch sort code

Day

Month

Year

We recommend that you retain a copy of the Direct Debit guarantee

The Direct Debit Guarantee

- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit, Equiniti Financial Services Limited, trading as EQi ("EQi"), will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request EQi to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by EQi or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when EQi asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.



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Section D: Subscription

Please state how you wish to fund your ISA. The maximum subscription to a stocks and shares ISA for the tax year 2023/24 is £20,000 (less any contributions made to any combination of permitted ISAs).

1. I enclose a cheque to the value indicated below payable to EQi to subscribe to my ISA.
I understand that this will be returned to me if my application is unsuccessful.

£

2. I currently have a EQi Dealing Account and would like to transfer cash to the value indicated below from this account to subscribe to my ISA. I understand that the transfer will only take place once my application has been successful.

£

3. I wish to transfer share certificates into my ISA. I understand that this involves transferring the shares into my Dealing Account, selling them and repurchasing them in my ISA, and will incur commission charges.

I enclose a completed CREST Transfer Form.

£

Please indicate the maximum value of shares you wish to transfer to the ISA

Any part of your holding above this value will be retained in your Dealing Account.

4. I wish to transfer shares from a savings-related share option scheme. I enclose a copy of the Notice of Exercise of Option to prove that the shares are from such a scheme. I enclose a copy of the transfer advice evidencing that this transfer is within 90 days of the exercise of option date. I also enclose a completed CREST Transfer Form.

£

Please indicate the maximum value of shares you wish to transfer

Please select what you would like us to do with any remainder of your shares

Transfer into my EQi Dealing Account (I enclose a second CREST Transfer Form)

Return to me in certificated form

5. I wish to transfer shares from a share incentive plan. I have provided a copy of the notice of award where I have been awarded free, partnership and/or matching shares. If I have received dividend shares I enclose a copy of the Notice of Acquisition. I enclose a copy of the transfer advice evidencing that this transfer is within 90 days of the shares ceasing to be subject to the plan. I also enclose a completed CREST Transfer Form.

Please indicate the maximum value of shares you wish to transfer

£

Please select what you would like us to do with any remainder of your shares

Transfer into my EQi Dealing Account (I enclose a second CREST Transfer Form)

Return to me in certificated form

Alternatively, you may wish to fund your ISA by:

- Completing the request to make a regular payment from your nominated bank account to your ISA in **Section C** of this application form.
- Crediting funds by Debit Card to your ISA. (You can do this on our secure website or by contacting our Customer Experience Centre on **0345 0700 720** once your application form has been accepted).
- Transferring in from another ISA manager. You need to enclose a completed and signed ISA Transfer Form.

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Section E: Declaration and Authority

Please read this section carefully before signing the Declaration

I apply to subscribe for an EQi Flexible Stocks & Shares ISA for the tax year 2023/24 and each subsequent year until further notice.

I declare that:

- All subscriptions made, and to be made, belong to me.
- 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 any combination of permitted ISAs in the same tax year.
- 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 & 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 shall inform EQi if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

I authorise EQi:

- 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.

This service is managed and administered in accordance with the Terms and Conditions which can be viewed on our website or sent to you upon request. This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before completing this form.

I declare that this application form has been completed to the best of my knowledge and belief, and will promptly inform you of any changes in my circumstances.

If my transfer to EQi includes any funds not held in a clean share class, and a clean class equivalent exists, I authorise EQi to convert these funds into the clean fund equivalent at no extra cost.

Please note: If there is no clean fund equivalent we will hold the fund in its existing form, but will be entitled to convert it in future if a clean fund equivalent is created. You will be notified of any conversions that take place at a later date via your account

Sign the form

To sign this form you may provide an electronic signature. You can do this via Adobe Acrobat Reader DC, or Docusign which is a free of charge service.

Instructions to create an electronic signature are as follows:

1. On Adobe open the file, or on Docusign upload the file
2. In the editor, select sign and draw your signature. Then place your signature in the signed box below
3. Save the document and follow the return instruction in the 'Next Steps' section.

Please note, we cannot accept a typed or written name in the box below. Alternatively, you may print and sign the document.

Signed

Date

Day

Month

Year



Section F: Enclosures Checklist

Please use this list to check you have enclosed all supporting documents.

Shares from eligible employee schemes

Ensure that you have enclosed all employee scheme documents (4 and 5 in Section D only).

CREST Transfer Form

Please ensure that you have enclosed a completed CREST Transfer Form for your ISA **(3, 4, 5 in Section D only)**.

For 4 and 5 in Section D, you will also need to enclose a second CREST Transfer Form for your Dealing Account.

Next Steps

1. If you are not an existing customer and your application is accepted you will receive the following:
 - Your account number
 - Sent separately, your PIN, which you will need to change the first time you log in on the EQi website.
2. If you are an existing customer, you will receive notification that your ISA has been activated, and will be able to use your existing username/account number and PIN to access the new account.
3. If your application is unsuccessful, you may be required to provide additional ID documents.
4. Any documents you send in relation to 3, 4, 5 in Section D should be originals and sent to our postal address.

To return your form, please send to forms@eqi.co.uk, this and all related documents must be received from the registered email detailed on your EQi account. Forms received from an unregistered email account will not be actioned, to assist with this please login to your account and ensure all contact details are correct.

Alternatively you can post the form to: **EQi, PO Box 4923, Worthing, BN99 6SF**

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Appendix: National Identifier Instructions

Below, you will find a table that lists the countries of the European Economic Area (EEA), including a section for any non-EEA countries, and details of each country's requested National Identifier. Following the instructions and using the information provided in the table, please establish your **primary nationality** & complete the relevant **National Identifier** number in Section C. Alternatively you can refer to www.nationalitycalculator.co.uk.

You are not required to complete the National Identifier details in Section C if you are a UK National only.

Using the table

1. Establishing your primary nationality

Referring to the table below and the **country column**, whichever of your nationalities is listed **highest** will be your primary nationality. (Please note, the countries are ordered alphabetically according to the National ID Code). *E.g. if you are a national of the United Kingdom and Spain, as Spain is listed higher than the UK in the country column list, your primary nationality will be Spain.*

2. Identifying your National Identifier

Once you have established your **primary nationality**, you must provide us with the relevant **National Identifier** details as requested in the table, in the order of priority as indicated in each field. Please refer to the country specific instructions in the table for further guidance. *E.g. using the same example as above, if your country of primary nationality is Spain, you will need to complete your Spanish Tax Identification Number & the National ID Code (ES1) in Section C.*

Please note:

- If you are unable to provide a National Identifier number as requested, please complete the National ID Code(s) & **tick the box** in Section F to confirm that you are unable to provide the details.
- You only need to provide **one** National Identifier **in the order of priority** listed in each field. *E.g. if you have established that your country of primary nationality is Czech Republic, you should only provide us with your Czech Republic National Passport number if you are unable to provide your National Identification Number in the first instance and tick to confirm you are unable to provide the first priority National Identifier.*
- *If you have established your primary nationality as one of the following countries, **Estonia, Spain, Iceland, Italy, Malta or Poland** and you are unable to provide a National Identifier as requested, **trading rules will prevent us from accepting your instruction to trade or transfer.**

Please contact the Customer Experience Centre if you have any questions regarding this table and/or completing the relevant details in Section C.

Country	National Identifier	National ID Code	Country specific instructions for completing Section C
Austria	No additional data required	AT1	Leave the National Identifier & National ID Code boxes blank.
Belgium	Belgian National Number (Numéro de register national – Rijksregisternummer)	BE1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
Bulgaria	Bulgarian Personal Number	BG1	
Cyprus	National Passport Number	CY1	
Czech Republic	First Priority: National Identification Number (Rodné číslo)	CZ1	Enter the National Identifier & National ID Code details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: National Passport Number		
Germany	No additional data required	DE1	Leave the National Identifier & National ID Code boxes blank.

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Country	National Identifier	National ID Code	Country specific instructions for completing Section C
Denmark	Personal Identity Code	DK1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have it.
*Estonia	Estonian Personal Identification Code (Isikukood)	EE1	
*Spain	Tax Identification Number (Código de identificación fiscal)	ES1	
Finland	Personal Identity Code	FI1	
France	No additional data required	FR1	Leave the National Identifier & National ID Code boxes blank.
United Kingdom	UK National Insurance Number	GB1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
Greece	10 DSS Digit Investor Share	GR1	
Croatia	Personal Identification Number (OIB – Osobni identifikacijski broj)	HR1	
Hungary	No additional data required	HU1	Leave the National Identifier & National ID Code boxes blank.
Ireland	No additional data required	IR1	
*Iceland	Personal Identity Code	IS1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
*Italy	Fiscal code (Codice Fiscale)	IT1	
Liechtenstein	First Priority: Personal code (Asmens Kodas)	LI1	Enter the National Identifier & National ID Code details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: National Passport Number	LI2	
Lithuania	First Priority: Personal code (Asmens Kodas)	LT1	
	Second Priority: National Passport Number	LT2	
Luxembourg	No additional data required	LU1	Leave the National Identifier & National ID Code boxes blank.
Latvia	Personal Code (Personas Kods)	LV1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.

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Country	National Identifier	National ID Code	Country specific instructions for completing Section C
*Malta	First Priority: National Identification Number	MT1	Enter the National Identifier & National ID Code details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: National Passport Number	MT2	
Netherlands	First Priority: National Passport Number	NL1	
	Second Priority: National Identity Card Number	NL2	
Norway	11 digit Personal ID (Foedselsnummer)	NO1	Enter the requested National Identifier & National ID Code details, or tick to confirm if you do not have this.
*Poland	First Priority: National Identification Number (PESEL)	PL1	Enter the National Identifier & National ID Code in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: Tax Number (Number Identyfikacji podatkowej)	PL2	
Portugal	First Priority: Tax Number (Número de Identificação Fiscal)	PT1	
	Second Priority: National Passport Number	PT2	
Romania	First Priority: National Identification Number (Cod Numeric Personal)	RO1	Enter the requested National Identifier and National ID Code details or tick to confirm if you do not have this.
	Second Priority: National Passport Number	RO2	
Sweden	Personal Identity Number	SE1	
Slovenia	Personal Identification Number (EMŠO: Enotna Matična Številka Občana)	SL1	
Slovakia	First Priority: Personal Number (Rodné číslo)	SK1	Enter the National Identifier details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: National Passport Number	SK2	
All other Countries (including Crown Dependencies such as Jersey, Guernsey, Isle of Man etc)	National Passport Number	XX1	Enter the requested National Identifier and National ID Code or tick to confirm you do not have it. If you are a national of more than one non-EEA country, please refer to www.nationalitycalculator.co.uk or contact our Customer Experience Centre to assist in establishing your primary nationality.