Alliance Trust Full SIPP

Collective Investment Schemes Instruction Form

You must use this form to instruct us to purchase units in any life office product, fund or Collective Investment Scheme. Funds and Collective Investment Schemes include unit trusts, OEICs, hedge funds, Limited Liability Partnership (LLP), trustee investment plans. To complete the purchase you will need to send us all the investment instruction documentation which we are required to complete.

Please refer to the Collective Investment Vehicles Purchase Guide and the notes in Section 9 before completing this form.

Please let us know of your proposal well in advance of when you need the purchase to go ahead as we need sufficient time to review and complete the paperwork.

Guidance for completing investment purchase paperwork

Each investment purchase is different. In general these application forms for the investment require you to:

- **complete the sections of the purchase paperwork personal to you and your risk profile**
- **complete any anti-money laundering requests relevant to you**
- **have your adviser complete the sections relevant to them**
- **send all the investment documentation to us which we will complete and send on.**

When making an investment application the investment provider will require that we supply certain anti-money laundering documentation for the trustee. Where we view these requirements to be operationally unreasonable we will not proceed with the investment.

1 Personal details

Alliance Trust Savings Client Reference Number (if known)

Surname		**Forenames**	
Address		**Home phone number**	
		Work phone number	
		Mobile phone number	
Postcode			
Email address			

Your adviser (name & company)			
Your adviser address		**Phone number**	
		Mobile phone number	
		FSA reference number	
Postcode			
Email address			

2 Investment instructions

Please indicate the type of investment to be purchased (Please tick)

unit trust ☐ **OEIC** ☐ **hedge fund** ☐ **LLP** ☐ **trustee investment plan** ☐

other (please specify) ☐

Continued overleaf

2 Investment instructions (Continued)

Investment details

Full name of investment provider		**Name of fund to be purchased**	
Class of share or unit to be purchased		**Identifier code** (if any)	
Investment amount	£		

3 Dealing details

Is the fund to be purchased from you personally or from a connected party? (Please tick) Yes ☐ No ☐

If yes, you must provide a market valuation of the investment will have to be provided in accordance with Section 272 Taxation of Chargeable Gains Act 1992. This means the price the investment would reasonably be expected to fetch on sale in the open market, to confirm the price being paid.

If no, please provide details of dealing platform, promoter or selling agent.

Taxable Property

Are any investments made in residential property or tangible assets? please see the Collective Investment Vehicles Purchase Guide?

Yes ☐ No ☐ If yes, the investment cannot be made.

4 Notice of purchase

If there is a closing date or other timeline you want us to observe you must give us at least 10 business days notice. The more notice you give us the more likely any unexpected issues will be resolved before the required date.

If the purchase is not straightforward we will let you know. It may be that this means that any important date cannot be met, or that to achieve your instruction we will need to negotiate special terms with the account provider. In either case we will let you know if there will be any additional costs.

If the purchase needs to be completed by a particular date, please provide the date. DD MM YYYY

5 Payment details

By cheque

If the payment for the investment is to be made by cheque, please prepare a cheque payable to the party stated on the application form drawn on your Full SIPP bank account for the amount to be invested. Please ensure that you, as the SIPP member, countersign the cheque and return it with this form. (Please tick) ☐

By bank transfer

If the payment for the investment is to be made by a BACS or CHAPS transfer, please complete the following bank transfer instructions.

Note: In some cases, a bank transfer is not acceptable, in which case a cheque will be required.

Amount to be transferred:	£	**Name of account holder**	
Bank name and address		**Branch sort code**	
		Account number	
Postcode		**Method of transfer** (Please tick)	**BACS** ☐ **CHAPS** ☐

If the transfer is to be made overseas please provide the following additional information.

SWIFT Code		**IBAN**	

Note: There is currently no fee for a BACS transfer to a UK bank account, which normally takes 3 to 4 working days. There is a fee of £25 for a same day CHAPS transfer and SWIFT (overseas) payment.

6 Declaration by Alliance Trust

Alliance Trust Pensions Limited declares that it is the Trustee, and Alliance Trust Savings Limited is the Scheme Administrator, of the Alliance Trust Full SIPP (together referred to as 'Alliance Trust')

The investment instructions shall only be carried out once Alliance Trust is satisfied that:

- all necessary paperwork and reports have been received to allow assessment of the suitability of the investment through the Full SIPP
- it does not create any liability apart from to you, for Alliance Trust.
- it does not create obligations under the Consumer Credit Act 1974 that Alliance Trust is unwilling to assume
- it is consistent with the structure of the scheme as a trust recognised under the laws of the United Kingdom and being a registered pension scheme benefiting from the tax treatment applicable to a registered pension scheme
- our transactional charges will be paid.

7 Member's instruction and declaration to Alliance Trust

I declare that:

The investment

- I have the qualities, experience, knowledge or financial wealth that is required of the beneficial owner of the investment
- all details provided in relation to the purchase and on this instruction are to the best of my knowledge and belief true and complete
- I have read in full, understood and agree the terms of all the relevant documentation published by the fund manager, stockbroker, promoter, provider, broker or adviser (as appropriate) about this investment instruction and taken such advice as I believe is appropriate to my circumstances
- I understand the consequences of the charges to be taken in respect of this investment
- I understand the obligations placed on me by the proposed purchase, particularly in making payments to that account from my Full SIPP
- I understand the obligation placed on me to confirm any statement made on my behalf which will enable Alliance Trust to carry out the instruction.

Alliance Trust charges

- I have read the Alliance Trust Full SIPP Schedule of Fees and confirm that the appropriate administration fees for this investment will be deducted from my Full SIPP.

Ownership of the investment and procedure involved

- I understand that the investment will be owned and subject to the authority of Alliance Trust through the Full SIPP and can only be operated as permitted by SIPP regulation and the Full SIPP
- I have received no investment advice from Alliance Trust and Alliance Trust has no responsibility for any risks, financial loss (however arising) or liquidity constraints arising from this investment instruction
- I understand that Alliance Trust may use its discretion not to carry out this instruction because the investment:
  - is inconsistent with SIPP regulation or the Full SIPP terms and conditions
  - creates any risk of liability to any person or under any legislation for the trustee or scheme administrator of the Full SIPP
  - creates obligations under the Consumer Credit Act 1974 that the trustee and the scheme administrator of the Full SIPP are unwilling to assume
  - is inconsistent with the structure of the scheme under trust as recognised under the laws of England, Wales, Scotland or Northern Ireland and the intention to ensure that the sums and assets held under an arrangement are to benefit from the tax treatment applicable to a registered pension scheme, all as determined, at its discretion, by Alliance Trust.
- I understand that Alliance Trust has the discretion not to proceed with this investment instruction, and shall not have any liability to me if it exercises this discretion
- I understand that where Alliance Trust is unable to realise the value of the investment, for whatever reason (apart from its own negligence) on a Benefit Crystallisation Event, on my death, or on transfer, the investment may be valued at nil at that date and Alliance Trust will have no further obligation in respect of me for that investment
- I indemnify and will keep Alliance Trust indemnified in respect of any loss or liability or tax charges that they may incur as a consequence of this transaction except for where Alliance Trust has been wilfully neglectful or in default
- I confirm that I have read and understand the current Alliance Trust Full SIPP Schedule of Permitted Investments.

About taxation

- In the event that there are any unauthorised payment tax charges arising from the investment then Alliance Trust may deduct any charges and associated costs from my Alliance Trust Full SIPP bank account or will receive payment directly from me.

8 Instruction to proceed

To Cater Allen
I instruct you to give effect to the payment instruction set out in section 5 on the sole authority of Alliance Trust.

To Alliance Trust
I instruct you process the application form accompanying this instruction and to deduct the fees for so doing from my Full SIPP bank account.

Member's name					
Member's Signature	✗	**Date**	DD	MM	YYYY

I confirm that I have:

- completed the parts of the purchase paper work personal to me and my risk profile
- made sure my adviser has completed the sections relevant to them
- enclosed all literature mentioned in the purchase form

Please return this form to:

SIPP Investments
Alliance Trust Savings Limited
PO Box 164
8 West Marketgait
Dundee
DD1 9YP

9 Notes

You must:

- give us notice of your intentions as soon as possible. It can take considerable time to purchase an investment, and if you give us notice we will set aside time to deal with your application
- complete and sign this form and return it to us.

We will:

- review all the paperwork sent to us
- request from you any missing information or papers
- ascertain that this is an investment that can be properly held in the Full SIPP
- complete the paperwork and send it to the investment provider
- charge you a fee.

We will not normally purchase any investment:

- that is not permitted in the Full SIPP
- that is not consistent with pension regulation and practice
- that creates a liability on the trustee scheme administrator of the Full SIPP
- that allows payments to be made from the investment except on our instruction
- that places any restrictive anti-money laundering requirements on us.

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09-461 (May 2010)