

# Alliance Trust Full SIPP

## Unlisted Stocks and Shares Instruction Form

You must use this form to instruct us to make a purchase through the Full SIPP directly of stocks, shares, debentures, warrants or loan notes issued by an unlisted company incorporated in the United Kingdom. To complete the purchase you will need to send us all the purchase instruction paperwork which we are required to complete.

Please refer to the Stocks and Shares 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 the purchase instruction paperwork 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)		<input type="text"/>						
Surname	<input type="text"/>	Forenames	<input type="text"/>					
Address	<input type="text"/>	Home phone number	<input type="text"/>					
	<input type="text"/>	Work phone number	<input type="text"/>					
	<input type="text"/>	Mobile phone number	<input type="text"/>					
Postcode	<input type="text"/>							
Email address	<input type="text"/>							

Your adviser (Name & Company)	<input type="text"/>							
Your adviser address	<input type="text"/>	Phone number	<input type="text"/>					
	<input type="text"/>	Mobile phone number	<input type="text"/>					
	<input type="text"/>	FSA reference number	<input type="text"/>					
Postcode	<input type="text"/>							
Email address	<input type="text"/>							

## 2 Investment instructions



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

share	<input type="checkbox"/>	debenture	<input type="checkbox"/>	warrant	<input type="checkbox"/>	loan note	<input type="checkbox"/>
other (give full details)	<input type="checkbox"/>	<input type="text"/>					

## 2 Investment instructions (continued)



### Investment details

Full name of company

Company registration number

Class of share to be purchased

Investment amount £

Identifier code (if any)

## 3 Dealing details



Do you currently have an interest in the Company? (Please tick)

Yes

No

If yes, please give details of the percentage holding

Does any person (or company) you are connected with have an interest in the Company? (Please tick)

Yes

No

If yes, please give details of the percentage holding for each connected party

Note: We will not allow an investment to proceed if the total holding of the SIPP, you personally and any connected party either now, or at any point in the future, will equal or exceed 20% of the issued share capital of the company.

Are you, or any person (or company) you are connected with, a director of the company? (Please tick)

Yes

No

Is this a new issue of shares?

Yes

No

If no, please send us a cheque made payable to HM Revenue & Customs drawn on your SIPP's Cater Allen bank account, countersigned for the amount of any stamp duty payable on the purchase (usually 0.5% of the value of the shares being purchased)

Are the stocks and shares to be purchased from you or a connected party? (Please tick)

Yes

No

If yes, from whom are you buying the stocks and shares?

and you must provide a market valuation of the shares in accordance with Section 272 Taxation of Chargeable Gains Act 1992. This means the price the shares would reasonably be expected to fetch on sale in the open market, to confirm the price being paid. For stock or shares in a Private or Unquoted Public Company this will have to be a valuation by an appropriate professional person like an accountant, solicitor etc

If no, please provide details of the public offering or from whom you are purchasing the shares.

Will any shareholder, subscription or other agreements have to be agreed because of this investment? (Please tick)

Yes

No

If yes, please provide a copy of the documents. We are unable to process the investment instruction form until we have received these.

### Taxable Property

Does the company satisfy the 'taxable property' exemption conditions as detailed in the stocks and shares purchase guide?

Yes

No

If no, investment cannot be made.

Is the company classed as a close company\*? (Please tick)

Yes

No

\* A close company is a UK company where the controlling parties in the company (these may be individuals or other corporations) number no more than five or a company where all of its participants (regardless of their number) are also directors.

## 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
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## 5 Payment details



### By cheque

If the payment for the investment is to be made by cheque then please prepare a cheque made payable to the party on the application form drawn on your SIPP Cater Allen bank account for the amount to be invested, ensure that you, as the SIPP member, countersign this  and then 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:	<input type="text" value="£"/>	Name of account holder	<input type="text"/>
Bank name and address	<input type="text"/>	Branch sort code	<input type="text"/>
	<input type="text"/>	Account number	<input type="text"/>
	<input type="text"/>	Method of transfer (Please tick)	BACS <input type="checkbox"/> CHAPS <input type="checkbox"/>
Postcode	<input type="text"/>		

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.

## 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 on any person or under any legislation

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 proposal 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 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 to process the application form accompanying this instruction and to deduct the fees for so doing from my Full SIPP bank account.

Member's name	<input type="text"/>	Date	<input type="text" value="DD"/>	<input type="text" value="MM"/>	<input type="text" value="YYYY"/>
Member's Signature	<input type="text" value="X"/>				

#### I confirm that I have:

- completed the parts of the purchase paperwork 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.



This literature is printed on paper made from trees grown in sustainably managed forests.

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