

# Investment (Stocks & Shares) NISA Application Form



**KINGSTON UNITY**  
**THE FRIENDLY SOCIETY**  
TRADITIONAL VALUES - MUTUAL BENEFITS

Please complete this form **in block capitals using black ink.**

For further details about the Investment NISA please see the Key Features Document

and Terms & Conditions. If you would like help completing your application, please contact us on **01924 240164**

## 1 your details

Applicant (to whom all correspondence will be sent)

Title

Surname

Forename(s)

Address

Postcode

Tel. No.

Day

Evening

Email

Date of birth

Male

Female

If you have been at your current address for less than 3 years please use this space below to provide details of your address history for the past 3 years.

### Do you have a National Insurance Number? Yes/no

If yes, you must enter it here

You should be able to find your National Insurance number on a payslip, P45 or P60 form, a pension order book or tax return.

## 2 investment details

If you are applying to transfer a NISA from an existing provider please complete section 2a (and sections 2b and 3 if you wish to also subscribe in this tax year).

If you are applying to open a NISA without transferring from another provider, please complete sections 2b and 3.

### 2a I apply to transfer an existing ISA from another provider to a:

Investment NISA ☐ (tick box if applicable)

You will also need to complete a transfer instruction for each NISA you wish to transfer to us.

### 2b

I apply to subscribe to an Investment NISA ☐ (tick box if applicable) for the tax year 20..... - 20..... and each subsequent year until further notice.

If you wish to subscribe in this tax year please also complete section 3.

## 3 subscriptions

Subscriptions can be made by monthly direct debit and/or lump sum cheque payments and are subject to the overall maximum allowed by the Government.

**Please see the attached guidance on the current limits.**

### ● Monthly Payments by Direct Debit

How much do you wish to invest in your Investment NISA each month?

The minimum monthly amount is £25

Payment date (choose one) 1st

16th

## subscriptions continued

### ● Lump sum payment

How much do you wish to invest into your Investment NISA as a lump sum

The minimum lump sum investment is £500

Please make your cheque payable to Kingston Unity. If you use a Building Society cheque or bankers draft, ask the organisation to print your name and account number on the reverse of the cheque and endorse it with their stamp.

## 4 permission to keep you informed

Information about you will be held by **Kingston Unity** to provide the products and services for which you apply. We would also like to keep you informed of other products and services. Please tick the appropriate boxes if you **DO NOT** wish to be sent information about our products and services by:

mail ☐ phone ☐ email ☐ You can change any of your choices by calling us on **01924 240164**

## 5 declaration - please ensure you sign and date this section

I hereby apply to subscribe to a Kingston Unity Stocks & Shares NISA. I declare that to the best of my knowledge and belief that the answers given above are true and complete.

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 more than the overall subscription limit in total to a cash NISA and a stocks & shares NISA in the same tax year
- I have not subscribed and will not subscribe to another stocks & shares NISA in the same tax year that I subscribe to this stocks & shares NISA and;
- 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 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 will inform Kingston Unity Friendly Society if I cease to be so resident and ordinarily resident or to be married to, or in a civil partnership with, a person who performs such duties.

### I authorise Kingston Unity Friendly Society

- To hold my cash subscription, any other proceeds in respect of my NISA investments and any other cash
- To make on my behalf any claims to relief from tax in respect of NISA investments

The Investment NISA is subject to the Key Features and Terms & Conditions. You should read these carefully before signing this application form. If you do not understand any point please ask us for further information. I understand that a copy of this application and rules is available on request. **I agree to the NISA Terms & Conditions.**

I understand that under the current Money Laundering Legislation and other statutory requirements ID verification checks may take place if required, including by electronic means. I authorise such checks.

I declare that this application has been completed to the best of my knowledge and belief. I agree to inform Kingston Unity in writing immediately of any changes in my details.

We will treat you as a 'retail customer' which means that you will receive the highest level of customer protection available under UK financial services rules and regulations.

### Client Agreement

I agree to be bound by this Client Agreement, which is a legal agreement, and defines our respective rights and obligations.

### Your Rights

You will be treated fairly in all of your dealings with Kingston Unity including:

- The product and associated services will be clearly described, so that you can decide whether it meets your needs
- Being provided with clear and accurate information, during and after the point of sale
- Our dealing effectively with your queries and complaints. We publish our internal complaints handling process on our website [www.kingstonunity.co.uk](http://www.kingstonunity.co.uk) and these are also available on request. In circumstances where you feel your complaint has not been dealt with to your satisfaction, or if we have not been able to give you a final response within eight weeks, then you will have the option of contacting the Financial Ombudsman Service. Their website is [www.financial-ombudsman.org.uk](http://www.financial-ombudsman.org.uk).

### Your Obligations

- To complete the application to the best of your knowledge and inform Kingston Unity in writing immediately of any changes in your circumstances
- To read the documentation that we will send to you, particularly the Key Features Document and Terms & Conditions

### Data Protection

In order to process your application, we must obtain certain information from you. We will also need to maintain certain other records.

- You agree that the information we hold about you can be held electronically and/or in hard copy form.
- You agree that any information we hold about you may be disclosed a) to third parties for the purpose of processing your application and ongoing membership, b) to our Regulators, c) to our Compliance Consultants, d) It will not be disclosed to any other parties (even if related) without your express permission in writing.
- If your plan has been arranged as an advised sale via an IFA, then we will automatically disclose your plan information to them unless you instruct us otherwise. If in future you do not wish to give us permission to disclose your information to your IFA, or if your relationship with your IFA ceases then please advise us.
- If you have been referred to us by an IFA then we will not provide them with any details of your plan information and we will send all documentation directly to you.

### For non-direct sales only

- If your plan has been arranged via an IFA, then we will automatically disclose your plan information to them unless you advise us otherwise. If in future, you do not wish to give us permission to disclose your information to your IFA, or if your relationship with your IFA ceases then please advise us.

**Please sign and date this declaration.**

Applicant's signature 

Date

## 6 Please complete this section if this is a non-advised sale:

Kingston Unity does not give advice in relation to its products and our external and Society introducers are not authorised to give advice. However, you may have received advice from an Independent Financial Advisor in relation to this plan. Where you have received advice from an Independent Financial Advisor, **please do not complete this section.**

**I confirm that I have not requested nor received any advice from the Society or its introducers in relation to this product.**

Signed: ..... Date: .....

## 7 return to us

Please return your completed application to: **Freepost RSJC-BBGE-KSAX, Kingston Unity, 9 Navigation Court, Calder Park, Wakefield, WF2 7BJ**

IFA Ref/Name

How did you hear about us? IFA ☐ KU Agent ☐ KU Website ☐ Other (specify) ☐