

Account Application (Direct/ISA/ISA Transfer)

Please complete this form using BLOCK CAPITALS in blue or black ink. For extra applications, visit our website at www.focus-ss.com

I. Your details

Applicant 1

Title (Mr, Mrs, Miss, Ms):

Surname:

Full forename(s):

Permanent address:

Postcode:

Date of birth:

Occupation:

Tel no:

Email address:

National Insurance (NI) number:

Applicant 2

Title (Mr, Mrs, Miss, Ms):

Surname:

Full forename(s):

Permanent address:

Postcode:

Date of birth:

Occupation:

Tel no:

Email address:

National Insurance (NI) number:

You can find your NI number on a payslip, form P45 or P60, letters from the HM Revenue and Customs or the Benefits Agency, or pension order book.

Are you a US Citizen? Yes No Are you a US Citizen? Yes No

Are you resident in the UK for tax purposes? Yes No Are you resident in the UK for tax purposes? Yes No

Are you resident for tax purposes in any other country? Yes No Are you resident for tax purposes in any other country? Yes No

If yes, please provide details of the Country/Countries and Tax Reference(s):

If yes, please provide details of the Country/Countries and Tax Reference(s):

For direct investments only, on behalf of a child (not aged 18 or over), please fill in the child's name here.

Full name: Date of birth:

2. Your bank details

Bank name:	<input type="text"/>	Bank sort code:	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	-	<input type="text"/>
Account name:	<input type="text"/>	Account number:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
		Reference (if any):	<input type="text"/>					

Building Society Reference or Roll No:

3. Provision of Future Information

Online communications only Paper-based correspondence (0.25% initial charge)

I understand that I will only receive future details of my account via email and online, and that no further paper correspondence will be sent to me.

Please ensure that a valid email address is inserted in section I above.

I prefer to continue to receive all details of my account, including valuation statements, by post. I understand that this will incur an additional initial account charge of 0.25%.

For security purposes, please provide us with a password so we can give you information over the telephone:

Please ensure that this form is completed fully, including the existing ISA transfer request, if appropriate.

4. Investment (minimum £5,000)

Please complete the plan details below.

Plan Name	Investment type & amount please enter amount in relevant column(s)			Adviser Charge % or £
	Direct	ISA (2017/18)	ISA transfer	
Dual Index Super Defensive Kick Out Plan December 2017				

Please indicate how you have acquired the money you are investing:

Accumulated savings	<input type="checkbox"/>	Pension lump sum	<input type="checkbox"/>
Employment related e.g. bonus	<input type="checkbox"/>	Property sale	<input type="checkbox"/>
Inheritance	<input type="checkbox"/>	Reinvestment of matured funds	<input type="checkbox"/>
Transfer from another provider	<input type="checkbox"/>	Other (please describe)	
		<input type="text"/>	
		<input type="text"/>	
		<input type="text"/>	

Please indicate method of payment:

<input type="checkbox"/> Cheque	<input type="checkbox"/> Electronic payment
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Please make your cheque payable to Meteor Investment Management Limited Client Account. If you are sending us a building society cheque it should include your name in brackets on the payee line.

If you send money by bank transfer; the details you require are:

Meteor Investment Management Limited Client Account
HSBC Bank plc - Queen Victoria Street Branch
Sort Code: 40-05-30
Account Number: 13692752
IBAN: GB21MIDL40053013692752

5. Have you received financial advice?

Yes, I/we have received advice from (name of firm)

No, I/we haven't received financial advice.



6. Please answer the questions below:

1. Please indicate if you hold any of the following investments:
 Bank deposits cash ISAs stocks and shares ISAs Unit trusts/investment trusts Direct equity investment other
2. Please indicate if you have ever held:
 Any investment where the capital and growth/income/interest payment(s) are variable and are based on the performance of the underlying securities, such as equities, commodities, indices or corporate bonds. Yes No
 A structured product (a fixed term investment such as the one you are applying for). Yes No
3. Do you have the capacity and willingness to accept the risks of the investment, including any risk to capital? Yes No
4. Do you understand that the amount of any growth payment will depend on the performance of your Plan and that in the event of adverse market conditions you may not receive any growth payment? Yes No
5. Do you understand how the return of capital at maturity is calculated and that the amount you receive may be less than the amount of your original investment? Yes No
6. Do you understand that the Plan is designed to be held for the full investment term and if you were to cash in early the amount you receive would depend on the value of the securities at the date of sale and that this value could be less than the amount you invested? Yes No
7. Do you understand that if the Counterparty were unable to pay the amounts due when the Plan matures, or on earlier encashment, you may lose some or all, of your investment as well as any growth payment to which you would otherwise have been entitled? Yes No
8. Do you understand the charges associated with the Plan? Yes No
9. Do you understand the personal tax implications of your investment? Yes No
10. Do you understand the compensation arrangements applicable to the Plan? Yes No
11. Are you the type of investor that this Plan is designed for? Yes No

7. Intermediary details

Firm name: Financial Services Register Number:

Branch: Adviser:

8. Adviser Declaration

- I confirm that all dealings with the investor have been carried out in accordance with the requirements of the FCA Handbook and in accordance with my obligations under Meteor’s current Terms of Business.
- I acknowledge my responsibility to evaluate all information on the Plan and confirm that where I have given advice, I have the necessary knowledge and experience to be deemed competent to assess the Plan and its suitability to an applicant’s circumstances and investment objectives.
- I declare that this application has been completed to the best of my knowledge and belief and I have agreed any adviser charge with the applicant.
- I confirm that I have carried out the appropriate identity checks on all parties relevant to this application and have retained copies of the completed Verification of Identity Certificates and supporting documentation, which I understand Meteor may request at any time and may rely on.
- I confirm that I have determined that the applicant meets the criteria to invest in this Plan.

Signed on behalf of the above: Date:

9. Declaration for all applicants

I/we declare that I/we:

- am/are 18 years of age or older
- have carefully read the Brochure including any applicable Terms and Conditions for the Plan and accept the terms under which the Plan will be managed
- have completed this form to the best of my/our knowledge and belief and the information given in the application, whether in handwriting or not, is true and complete
- am/are not, or acting on the behalf of, a resident of the United States and that I/we will not assist any person who is so resident
- agree to inform Meteor immediately should I/we become resident(s) of the United States
- agree to inform Meteor immediately should there be any change in my/our residency for tax purposes
- will inform Meteor without delay of any change in my/our circumstances affecting any of the information in this form
- have agreed the amount of any initial adviser charge as shown overleaf and note that the agreed terms will be confirmed to me by Meteor on acceptance of such instruction.

I/we authorise Meteor:

- to hold my/our cash subscription, Direct investments, ISA investments, interest, dividends and other rights or proceeds in respect of those investments and any cash or other proceeds
- to make on my/our behalf any claims to relief from tax in respect of ISA investments

I/we understand that:

- Meteor does not provide investment advice and confirm that I/we either do not require such advice or have received advice on this investment from a financial adviser as shown above
- if I/we have received financial advice, my/our financial adviser is not acting as agent to the Issuer or its affiliates.

Also Applicable to all ISA Applicants:

I declare that:

- all subscriptions made, and to be made, belong to me.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA, a stocks and shares ISA and an Innovative Finance ISA in the same tax year.
- I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same tax year as I subscribe to this Stocks and Shares ISA.
- I am resident in the United Kingdom for tax purposes or; if not so resident, 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; am married to, or in a civil partnership with, a person who performs such duties, and I will inform Meteor immediately 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.

Signed: Name: Date:

Signed: Name: Date:

Note: If you have filled in and signed this Application Form, please send it to Meteor Asset Management Limited, 55 King William Street, London, EC4R 9AD or back to your financial adviser to submit the form.

For ISA Transfers please also complete and return the Existing ISA transfer request form on the following page.

Existing ISA transfer request

Please complete this form using BLOCK CAPITALS in blue or black ink. For extra applications, simply photocopy this form or download a copy from our website at www.focus-ss.com

Please supply your account details.

Account number:

Title (Mr, Mrs, Miss, Ms):

Surname:

Full forename(s):

Date of birth:

D	D	M	M	Y	Y	Y	Y
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Permanent residential address:

Postcode:

NI number:

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Indicate the amount to be transferred:

£

cash:

Type of ISA

stocks and shares:

ISA Account number:

Sort Code:

		-			-		
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Name of investment:

1. Have you subscribed to your current ISA in the current tax year?

Yes

No

2. Do you wish to:

Close your account and transfer the balance plus interest?

Yes

No

if no, do you wish to:

Transfer your current year subscription as part of the transfer?

Yes

No

Transfer your current year subscription only?

Yes

No

N.B. If your intended transfer includes the transfer of current year subscriptions, all of the present value derived from current year subscriptions must be transferred.

Name of existing ISA manager:

Address:

Postcode:

Any special instructions:

In respect of the ISA Account detailed above I authorise my existing ISA manager to

1. Transfer the cash value of the ISA together with any interest, dividends, rights and cash within the account, or the amount specified, as appropriate, to Meteor Investment Management Limited.
2. Provide Meteor with any information, written or non-written, and to accept any instructions from them relating to the transfer.
3. Ensure that all dividends, interest & tax credits arising after the transfer are paid to me.
4. a) Proceed immediately with the transfer and, where a period of notice is required for closure/part transfer, apply any consequential penalty (delete as appropriate); OR
b) Proceed with the transfer only after the full notice period has expired (delete as appropriate)

Signature:

Date:

Note: If you have filled in and signed this form, please send it to Meteor Asset Management Limited, 55 King William Street, London EC4R 9AD or to your financial adviser to submit the form.



Please ensure that you complete the Existing ISA transfer request form on previous page.