

## ISA Application

To open an Equiniti Shareview Dealing ISA please visit [shareview.com/troy](http://shareview.com/troy) or complete and sign this application form and return along with any enclosures required in the envelope provided. Please read this form in conjunction with Equiniti Investment Account and ISA Terms and Conditions which may be found on our website. If you have any questions about this form please call Customer Services on **0345 602 6098**.

### Section A Your personal details

Title Mr  Mrs  Miss  Ms  Other

First Name(s)

Last Name(s)

Date of Birth

Daytime Telephone Number

Email Address

Country of Birth  Town of Birth

Mother's Maiden Name

Permanent Home Address   
Postcode

#### Tax Residence Details:

Country of Tax Residence

National Insurance Number/ Tax Identification 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 details in the box below, according to the instructions in the **Appendix** (at the end of the form) or using [www.nationalitycalculator.co.uk](http://www.nationalitycalculator.co.uk).

	National Identifier	National ID Code	Tick if unable to provide
First Priority	<input type="text"/>	<input type="text" value="1"/>	<input type="checkbox"/>
Second Priority	<input type="text"/>	<input type="text" value="2"/>	<input type="checkbox"/>

## Section A Your Personal Details (continued)

Does your employer need copies of your contract notes?

Yes

No

If so, please provide your employee details name (including contact name, UK office address and postcode):

## Section B 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 Shareview Dealing account and allow us to transfer any income you receive from dividends and proceeds from sales to your bank account. The annual ISA fee will also be taken from this nominated bank account.

If we are unable to debit your nominated bank account, fees will be deducted from the cash balance of your Investment Account. If we are unable to deduct from your cash balance, shares will be sold from your account to meet this charge.

### Monthly payments from your bank account to your Shareview Dealing ISA

You may set up a monthly payment instruction to fund your ISA.

If you would like to make regular payments please enter the amount you would like to transfer each month.

£

Your bank account will be debited on the 27<sup>th</sup> day of each month or the nearest business day thereafter.

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

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

To: The Manager

Bank/Building Society

Bank/Building Society address

  
  

Postcode

Bank/Building Society Account Number

Branch Sort Code



Service User Number

Service User Reference (if applicable)

### Instruction to your bank or building society

Please pay Equiniti Financial Services Limited 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 Equiniti Financial Services Limited and, if so, will be passed electronically to my bank/building society.

Signature

Print Name

Date

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 will notify you 5 working days in advance of your account being debited or as otherwise agreed. If you request Equiniti Financial Services Limited 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 Equiniti Financial Services Limited 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 Equiniti Financial Services Limited 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.



## Section C Subscription

Please state how you wish to open your ISA. The maximum subscription to a stocks and shares ISA for the tax year 2017/18 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 Equiniti Financial Services Limited to subscribe to my ISA.   
I understand that this will be returned to me if my application is unsuccessful.

£

2. I currently have an Equiniti Investment 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 have completed the request to make a payment or regular payment from my nominated bank account to my ISA in **section B** of this application form. I understand that any regular payments will be taken on or after the **27<sup>th</sup> of each month**, and will begin once my application has been accepted.

4. I wish to credit funds by Maestro or VISA Delta debit card to my ISA   
(You can do this on our secure website or by contacting Customer Services on **0345 300 0430** once your application form has been accepted).

5. I wish to open my ISA by transferring in from another ISA Manager. I enclose a completed and signed ISA Transfer Form.

## Section D Regular Investment

Complete this section if you would like to set up a Regular Investment order to purchase Troy Income & Growth Trust plc shares each month.

Amount to invest each month via Direct Debit

£

- All trades will be executed on the 4<sup>th</sup> day of each month, or the next business day
- Please ensure there are sufficient funds in the cash account to cover the shares, commission, stamp duty and other charges.
- If there are insufficient funds for the order to be processed, the order will fail and the instruction will be carried over to the next trade date
- You can amend or cancel this instruction at any time online or by calling Customer Services on **0345 602 6098**.

## Section E Dividends and income preference

Dividends will be paid into the cash balance of your account unless you instruct otherwise.

Income preference

Please indicate your preference regarding cash dividends paid into your account by choosing one of the following two options:

Please retain any income I receive in the cash balance of my account

or

Please pay any income I receive to my nominated bank account:

Monthly  Quarterly  Half-yearly  Yearly  on  day of the month (1–28 only)

Please note, you can reinvest the income into further shares of the issuing company. You can set this up online or by calling Customer Services, once the stocks are in your account.

## Section F Alerts and Marketing Preferences

### Alert Preferences

We can send email or text message alerts to let you know when there are important secure messages in your inbox. Please indicate below if you would like to receive alerts, and ensure you have provided a valid email address and/or mobile number in Section A.

Email  SMS Alerts

### Marketing Preferences

Equiniti Financial Services Limited (EFSL) may contact you about goods and/or services which they believe may be of interest to you. Please tick the boxes below to indicate the method(s) of contact they may use. If you would prefer to be excluded from such offers do not tick a box.

Post  Email  Telephone  SMS

Marketing preferences for main account holder will apply to all additional account holders. If you wish to change your preferences at any time, please call Customer Services.

## Section G Declaration and Authority

### Please read this section carefully before signing the Declaration

I apply to subscribe for an Equiniti Shareview Dealing ISA for the tax year 2017/18 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, more than the overall subscription limit in total to a cash ISA and a stocks and shares ISA in the same year.
- 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 to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA.
- 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 Equiniti Financial Services Limited 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 Equiniti Financial Services Limited:
  - 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.
- Where applicable, I appoint Equiniti Financial Services Limited to undertake the transactions enclosed with this declaration.
- I am aware that in certain circumstances Equiniti will be obliged to share some of this information with UK tax authorities, who may pass it on to other tax authorities.
- 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 will promptly inform you of any changes to my circumstances.
- I permit Equiniti Financial Services Limited to submit the data provided by me in this application to Experian or any other external database used by Equiniti Financial Services Limited for the purpose of verifying my identity. A record of the search will be retained.

Signature

Date

D	D	M	M	Y	Y	Y	Y
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## Next Steps

**Please return this form to:**

Equiniti  
PO Box 4605  
Aspect House  
Spencer Road  
Lancing  
BN99 6QY

You will receive most communications from us by online secure message, accessible from your account. Should you wish to change this preference, please call **0345 602 6098**.

1. If you are not an existing customer and your application is accepted you will receive the following:
  - Your account number
  - Under separate cover, your PIN, which you will need to change the first time you log in on the Shareview Dealing 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

## 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** details in Section A, for all account applicants. Alternatively you can refer to [www.nationalitycalculator.co.uk](http://www.nationalitycalculator.co.uk).

You are **not** required to complete the National Identifier details in Section A 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 details of a **National Identifier** as requested in the table below, 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 (ESI) in Section A.*

#### Please note:

- If you are unable to provide a National Identifier as requested, please complete the National ID Code & **tick the box** in Section A 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 Customer Services if you have any questions regarding this table and/or completing the relevant details in Section A.**

Country	National Identifier	National ID Code	Country specific instructions for completing Section A
Austria	No additional data required	ATI	Leave the National Identifier & National ID Code boxes blank.
Belgium	<b>Belgian National Number (Numéro de register national – Rijksregisternummer)</b>	BEI	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
Bulgaria	<b>Bulgarian Personal Number</b>	BGI	
Cyprus	<b>National Passport Number</b>	CYI	
Czech Republic	First Priority: <b>National Identification Number (Rodné číslo)</b>	CZI	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: <b>National Passport Number</b>	CZ2	
Germany	No additional data required	DEI	Leave the National Identifier & National ID Code boxes blank.
Denmark	<b>Personal Identity Code</b>	DKI	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have it.
*Estonia	<b>Estonian Personal Identification Code (Isikukood)</b>	EEI	
*Spain	<b>Tax Identification Number (Código de identificación fiscal)</b>	ESI	
Finland	<b>Personal Identity Code</b>	FII	
France	No additional data required	FR1	Leave the National Identifier & National ID Code boxes blank.
United Kingdom	<b>UK National Insurance Number</b>	GBI	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
Greece	<b>10 DSS Digit Investor Share</b>	GR1	
Croatia	<b>Personal Identification Number (OIB – Osobni identifikacijski broj)</b>	HRI	

## Appendix National Identifier Instructions continued

Country	National Identifier	National ID Code	Country specific instructions for completing Section A
Hungary	No additional data required	HUI	Leave the National Identifier & National ID Code boxes blank.
Ireland	No additional data required	IRI	
*Iceland	<b>Personal Identity Code</b>	ISI	
*Italy	<b>Fiscal code (Codice Fiscale)</b>	ITI	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
Liechtenstein	First Priority: <b>National Passport Number</b>	LII	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: <b>National Identity Card Number</b>	LI2	
Lithuania	First Priority: <b>Personal code (Asmens Kodas)</b>	LT1	
	Second Priority: <b>National Passport Number</b>	LT2	
Luxembourg	No additional data required	LUI	Leave the National Identifier & National ID Code boxes blank.
Latvia	<b>Personal Code (Personas Kods)</b>	LVI	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
*Malta	First Priority: <b>National Identification Number</b>	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: <b>National Passport Number</b>	MT2	
Netherlands	First Priority: <b>National Passport Number</b>	NL1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
	Second Priority: <b>National Identity Card Number</b>	NL2	
Norway	<b>11 digit Personal ID (Foedselsnummer)</b>	NO1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
*Poland	First Priority: <b>National Identification Number (PESEL)</b>	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: <b>Tax Number (Number Identyfikacji podatkowej)</b>	PL2	
Portugal	First Priority: <b>Tax Number (Número de Identificação Fiscal)</b>	PT1	
	Second Priority: <b>National Passport Number</b>	PT2	
Romania	First Priority: <b>National Identification Number (Cod Numeric Personal)</b>	RO1	
	Second Priority: <b>National Passport Number</b>	RO2	
Sweden	<b>Personal Identity Number</b>	SE1	Enter the requested National Identifier and National ID Code details or tick to confirm if you do not have this.
Slovenia	<b>Personal Identification Number (EMŠO: Enotna Matična Številka Občana)</b>	SL1	
Slovakia	First Priority: <b>Personal Number (Rodné číslo)</b>	SK1	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: <b>National Passport Number</b>	SK2	
All other Countries (including Crown Dependencies such as Jersey, Guernsey, Isle of Man etc)	<b>National Passport Number</b>	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 <a href="http://www.nationalitycalculator.co.uk">www.nationalitycalculator.co.uk</a> or contact Customer Services who will be able to assist you in establishing your Primary Nationality.