

# LV= AutoISA Switch Facility

## APPLICATION FORM (for use in the 2010/2011 Tax Year)

We are able to provide literature and communications in alternative formats: If you would like this document in Braille or large print, please contact your Financial Adviser, or alternatively please contact LV= on 0845 113 0273.

Please complete this form in ink using BLOCK CAPITALS and send it to: Liverpool Victoria Portfolio Managers Ltd, PO Box 10033, Chelmsford, CM99 2AL.

This form is an offer to enter into an agreement with Liverpool Victoria Portfolio Managers Ltd. Before completing the Application Form please ensure that you have read the LV= Investment Funds III Simplified Prospectus, ISA Key Features and ISA Terms and Conditions.

### FOR AGENT USE ONLY

Agency/Firm Name: \_\_\_\_\_

Agent Name: \_\_\_\_\_

Agent/Agency Number: \_\_\_\_\_

Discount %: \_\_\_\_\_

Commission Payable %: \_\_\_\_\_

Advice given? Yes  No

Source/Media Code: \_\_\_\_\_

If you have any questions, please contact your Financial Adviser, or alternatively please contact LV= on 0845 113 0273.

Please note that the LV= Auto ISA facility is subject to a minimum lump sum investment or existing account value of £25,000.

Holdings in joint names cannot be used in connection with the LV= AutoISA Facility.

If you already hold an existing fund within LV= Investment Funds III ICVC (OEIC), please ensure you enter your existing client number in the section entitled Your Details and complete the Investment Information section. Please also note that for existing investors, your entry into the AutoISA Facility may give rise to a Capital Gains Tax (CGT) liability, although if your realised gains from all investments do not exceed the annual CGT allowance, you will not be liable to CGT. Your financial adviser can give you further information about your personal tax position. Your tax position will depend on your personal circumstances.

Even if you already hold an existing fund within LV= Investment Funds III ICVC (OEIC), please ensure that you complete all parts of this application as required. Existing investors may place all or part of their existing investment through this facility. New investors can invest through this facility subject to the minimum of £25,000. All investors should indicate their preference in Part 2 of this form in the section "My total investment" (subject to the minimum investment of £25,000).

Please be aware that for the AutoISA Switch Facility any investment held outside your ISA will be subject to the tax position explained in the Simplified Prospectus. Therefore when we sell shares from outside your ISA to reinvest in the fund within the ISA, it may give rise to a Capital Gains Tax (CGT) liability, although if your realised gains from all investments do not exceed the annual CGT allowance, you will not be liable to CGT. Your financial adviser can give you further information about your personal tax position. Your tax position will depend on your personal circumstances.

If you would like to invest in an LV= ISA for the current tax year – please ensure you also complete an additional LV= ISA form for a 2009/2010 Stocks and Shares ISA

## PART 1 YOUR DETAILS

If you hold an existing investment in LV= Investment Funds III please enter your existing client reference number: \_\_\_\_\_

Title Mr/Mrs/Miss/Ms/Dr/Other \_\_\_\_\_ Surname \_\_\_\_\_

Forename(s) \_\_\_\_\_

Permanent residential address \_\_\_\_\_

Postcode \_\_\_\_\_

Email address \_\_\_\_\_

We may need to contact you by telephone (please include dialling code) \_\_\_\_\_

## INFORMATION REQUIRED FOR HM REVENUE & CUSTOMS PURPOSES

Your application cannot be processed without the following information.

Date of Birth 

D	D	/	M	M	/	Y	Y	Y	Y
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 National Insurance (NI) number 

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Note: You may find your NI number on any of these items: payslip, form P45 or P60, a letter from HMRC or DWP or pension book.

## PART 2 INVESTMENT INFORMATION

From 6 April 2010, the maximum annual investment into an ISA is £10,200 and the whole amount may be invested in a Stocks and Shares ISA. Under this facility, in any tax year the maximum permitted amount is paid into the LV= ISA.

I wish to invest in an ISA for the tax year 2011/2012 and invest the maximum permitted amount into the LV= ISA. I understand that my total initial investment will be invested directly into the LV= Investment Funds III as indicated below and the maximum ISA limit or the remaining balance (if at least £1000) will be transferred to my ISA account on or around 13 April each year, starting on 13 April 2011, until it is fully transferred.

**Both existing and new customers should complete the initial amount and their choice of fund**

My total initial investment is:

**Please tick one box below, indicating how you would like your investment made. You may only invest in ONE fund.**

LV= Diversified Income Fund

LV= Managed Portfolio 3

LV= Managed Portfolio 4

LV= Managed Portfolio 5

LV= Managed Portfolio 6

LV= Managed Portfolio 7

### Payments by cheque (new or additional investments)

Please make your personal cheque payable (in pounds Sterling) to LVPM Ltd. If you are paying by a building society cheque please ensure that the building society has endorsed the cheque with your name and your account number. Where the payment is made by an unendorsed building society cheque, the processing of your application will be delayed as we will need you to provide us with evidence to establish the account from which the funds originated.

### INCOME PAYMENT DETAILS

You may choose either to have any income paid directly into your nominated bank account or for income to be re-invested to buy more shares in the funds. To receive income into your bank account, please complete the section below. If you do not complete this section, any income received will be automatically be reinvested. The account must be held in your name.

Name of UK bank or building society

Address

Postcode

Sort code

Account number

Name(s) of account holder(s)

### DECLARATION

I declare that:

- I have read the relevant LV= ISA Key Features Document and the LV= Investment Funds III ICVC Simplified Prospectus Retail Share Class and confirm I have been offered a copy of the relevant Full Prospectus.
- I agree to the Terms and Conditions.
- If I have downloaded this application from www.LVAM.co.uk, I acknowledge that I have retained/saved the Simplified Prospectus, LV = ISA Key Features Document and Terms and Conditions for my future reference.

- I am aged 18 or over.
- I am investing only my own money in the LV= Investment Funds III ICVC (OEIC).
- 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 tax year.
- I understand the initial investment will be directly into the LV= Investment Funds III ICVC (OEIC) outside of the ISA and the maximum ISA limit transferred for the 2011/2012 tax year and each year thereafter whilst there are sufficient funds invested in the LV= Investment Funds III ICVC funds.
- I wish to subscribe in respect of the 2011/2012 tax year and understand that the facility will continue to transfer the maximum amount each year on or around 13 April into the ISA.
- I understand that the final transfer will be the balance remaining in the LV= Investment Funds III ICVC (OEIC) if it is more than £1000 and therefore may not fully fund that years entitlement. If the final transfer amount is less than £1000 I understand that this will not be transferred into the ISA but instead will remain in the LV= Investment Funds III ICVC (OEIC).
- The LV= ISA is a Stocks and Shares ISA. For the duration of this agreement I will not subscribe to any other Stocks and Shares ISA or Cash ISA in the same tax year that I subscribe to this LV= ISA.
- I am resident and ordinarily 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 will inform the Company if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
- My investment shall start on the day that the Company receives my fully completed application and investment payment(s) (subject to any proof of identity required) at the administration address shown at the top of this form; however if the date of receipt is not a business day or the time of receipt is after 2pm, my investment shall start on the next business day.
- LV= and third party service providers may use information I have given in this application to process my application and for the ongoing management of my account. Information may be held on computer, paper file or other appropriate medium for as long as the application is being considered, for as long as I remain a shareholder and for an appropriate length of time thereafter.
- LV= and third party providers may use information given to make searches about me at credit reference agencies that hold my information (such as from the electoral roll). I accept that the agencies check my identity and will keep records of these searches, even if my application does not proceed. I understand that LV= may use scoring methods to check my identity and may ask me for supporting documents.

**i** We will keep your information and add it to our marketing databases.

We may use it to keep your records up to date, for business analysis and market research. We may also use it to let you know by post, phone, email and electronic methods about products and services we think may interest you. We may pass your details to other carefully selected organisations, but only for these purposes.

If you do not want to receive marketing information, please tick this box

Subject to payment of a fee, you can ask for a copy of the personal information we hold about you by writing to P O Box 10033, Chelmsford, CM99 2AL. For details of the LV= group of companies please refer to www.LVAM.co.uk

### I authorise the Company to:

- Hold my ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash
- Make on my behalf any claims to relief from tax for my ISA investments

The information given in this application is to the best of my knowledge and belief, true and accurate; and I agree to advise the Company promptly of any change in my circumstances which affects this information.

Signature of Investor **X**

Date

### Please read the additional notes below:

The AutoISA Switch facility is only available in respect of subscriptions for Retail Shares set out in the application form (LV= Investment Funds III), subject to the minimum subscription amounts relating to each fund. Applications must be in individual names ie: no joint holdings.

Please note that the number of shares to be transferred at the beginning of each ISA year will be determined by the price at the transfer date which may be higher or lower than the price at which the shares were originally purchased.

## Authorised and regulated by the Financial Services Authority.

LV= and Liverpool Victoria are registered trade marks of Liverpool Victoria Friendly Society Limited, LV and LV= Liverpool Victoria are trading styles of the Liverpool Victoria group of companies. Liverpool Victoria Asset Management Limited (LVAM) is the Investment Manager and Liverpool Victoria Portfolio Managers Limited (LVPM) the ISA manager and Authorised Corporate Director for the LV= investment Funds III ICVC. LVAM and LVPM are authorised and regulated by the Financial Services Authority, register numbers 185399 and 188521 respectively. Both companies are incorporated in England and Wales company numbers 3287943 and 3579650 and are members of the IMA. The LV= Investment Funds III ICVC is an open ended investment company (OEIC) with variable capital incorporated in England and Wales with Number IC678. The OEIC is authorised and regulated by the Financial Services Authority, register number 482678. Registered address for all companies: County Gates, Bournemouth, BH1 2NF. Calls may be recorded for training and monitoring purposes.