

Lloyds Wealth (ACD) General Investment Account – Subscription Form



You should complete this form if you would like to invest in a new or existing General Investment Account.

- If you have any queries or support needs when completing this form, please call **+44 (0)344 822 8910**.
- Please fully complete sections 1, 2, 4, 6 and 8, (sections 3 and 7 if relevant) in BLOCK CAPITALS with a BLACK ballpoint pen in the white spaces or mark [X] in the boxes.
- To make a monthly investment, please also complete section 7 and keep a copy of the Direct Debit Guarantee.
- If you are making a lump sum investment please send a cheque with your completed application form.
- Cheques must be made payable to: Lloyds Wealth (ACD).
- Cheques will only be accepted from a UK bank account in GBP only.
- Third party cheques will not be accepted.

Return your completed application form and cheque (if applicable) to: **Lloyds Wealth (ACD), PO Box 13482, Chelmsford, CM99 2GN.**

1. Your details

- We cannot accept 'care of' or 'PO Box' addresses.

First/Sole

Existing Lloyds Wealth (ACD) Investor Yes

Lloyds Wealth (ACD) Client Reference (if marked "yes" above)

Title Mr Mrs Miss Ms Other title

Gender Female Male

Surname

Forename(s)

Residential address

Postcode

Country of address

Country of birth

Date of birth

Joint

Existing Lloyds Wealth (ACD) Investor Yes

Lloyds Wealth (ACD) Client Reference (if marked "yes" above)

Title Mr Mrs Miss Ms Other title

Gender Female Male

Surname

Forename(s)

Residential address

Postcode

Country of address

Country of birth

Date of birth

Your nationality(s)

Your nationality(s)

Daytime telephone number and email address

Telephone (day)
Email

Daytime telephone number and email address

Telephone (day)
Email

Please state below if you would like to have a specific name for this account e.g. tuition fees (20 characters maximum).

Account designation (if any)

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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• In order to assist you, we are pleased to offer service enhancements. Please mark [X] in the boxes which apply to you:

I have limited understanding of the English Language

I would appreciate it if you could speak up on the phone

I am not very confident using the internet or web-based product

I need any written communication sent using large print

I would not like to be contacted by telephone

I need any written communication sent to me as braille where possible

If we talk on the phone, please speak slowly

I need any written communication sent out in an audio recording

To be completed by Financial Advisers (mark [X] only)

Advised investment

OR

Non-advised (execution only) investment

Broker stamp required for validity (not transferable)

Lloyds Wealth (ACD) Agent ID:

2. Investment choice

- Select which fund(s) you wish to transfer into from the list below, and enter the fund name(s) and share class in the section below.
 - Lloyds Wealth Balanced Solution,
 - Lloyds Wealth Cautious Solution,
 - Lloyds Wealth Discovery Solution,
 - Lloyds Wealth Progressive Solution.
- If you choose to have income shares then please also complete section 3.
- Income shares are not offered in Lloyds Wealth Balanced Solution.

Fund	Income Shares	or	Accumulation Shares	Lump sum (Initial £1,000 & subsequent £100 per fund)	and/or	Monthly savings (Minimum is £50 per fund)
<input type="text"/>	<input type="checkbox"/>		<input type="checkbox"/>	£ <input type="text"/>		£ <input type="text"/>
<input type="text"/>	<input type="checkbox"/>		<input type="checkbox"/>	£ <input type="text"/>		£ <input type="text"/>
<input type="text"/>	<input type="checkbox"/>		<input type="checkbox"/>	£ <input type="text"/>		£ <input type="text"/>
<input type="text"/>	<input type="checkbox"/>		<input type="checkbox"/>	£ <input type="text"/>		£ <input type="text"/>

For monthly investments only: Please collect my monthly payment on the day of each month. Unfortunately collections cannot be selected for 29, 30 or 31.

3. Income

- Please complete this section for your income to be paid directly into your bank or building society account.
- If this section is not completed and you have chosen Income shares in section 2, the form will be rejected as incomplete.
- We cannot make a payment into an account which is not in your name.

Name of Bank/Building Society

Name of bank/building society account holder

Bank's/Building Society's address

Building Society roll number (if applicable)

Account number

Sort Code

Postcode

4. Country of residence for tax purposes and related Taxpayer Identification Number (“TIN”) or equivalent number

Please complete the following table indicating (i) where the account holder is tax resident and (ii) the account holder’s TIN for each country indicated.

If the account holder is a US citizen or US tax resident, please include United States in this table along with his/her US Tax Identification Number.

If the account holder is tax resident in more countries than allowed for in the table below please use a separate sheet.

Country of tax residence (and citizenship if US)	Tax Identification Number	If no TIN available enter Reason A, B or C, plus explanation where B is chosen	
		Reason	Explanation

Reason A The country where the account holder is liable to pay tax does not issue TINs to its residents.

Reason B The account holder is otherwise unable to obtain a TIN or equivalent number.

Reason C No TIN is required. (Note: only select this reason if the authorities of the country of tax residence entered above do not require the TIN to be disclosed)

Guidance on the issuance and use of TINs in selected jurisdictions can be found by visiting the following web address:

www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759

If the account holder is not resident in any country for tax purposes, please mark [X] in this box:

Declarations and signature

Declaration:

I confirm that I am the account holder (or am authorised to sign for the account holder) of all the account(s) to which this form relates. I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete.

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the account holder’s relationship with Lloyds Wealth (ACD), including those setting out how it may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the account holder and any Reportable Account(s) may be provided to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the account holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I agree to notify Lloyds Wealth (ACD) as soon as practicable and in any event within 30 days if the information in this self-certification changes.

Name (please print full name)

Signature

Date

D	D	M	M	Y	Y	Y	Y
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4. Country of residence for tax purposes and related Taxpayer Identification Number (“TIN”) or equivalent number

(for joint applicants)

Please complete the following table indicating (i) where the account holder is tax resident and (ii) the account holder’s TIN for each country indicated.

If the account holder is a US citizen or US tax resident, please include United States in this table along with his/her US Tax Identification Number.

If the account holder is tax resident in more countries than allowed for in the table below please use a separate sheet.

Country of tax residence (and citizenship if US)	Tax Identification Number	Reason	Explanation

Reason A The country where the account holder is liable to pay tax does not issue TINs to its residents.

Reason B The account holder is otherwise unable to obtain a TIN or equivalent number.

Reason C No TIN is required. (Note: only select this reason if the authorities of the country of tax residence entered above do not require the TIN to be disclosed)

Guidance on the issuance and use of TINs in selected jurisdictions can be found by visiting the following web address:

www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759

If the account holder is not resident in any country for tax purposes, please mark [X] in this box:

Declarations and signature

Declaration:

I confirm that I am the account holder (or am authorised to sign for the account holder) of all the account(s) to which this form relates. I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete.

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I acknowledge that the information contained in this form and information regarding the account holder and any Reportable Account(s) may be provided to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the account holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I agree to notify Lloyds Wealth (ACD) as soon as practicable and in any event within 30 days if the information in this self-certification changes.

Name (please print full name)

Signature

Date

D	D	M	M	Y	Y	Y	Y
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5. Glossary of Terms

Below you will find specific terms and their definitions that appear in this document.

Tax Regulations – The term “tax regulations” refers to regulations and Intergovernmental Agreements implementing automatic exchange of information between the UK and the US (sometimes referred to as FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (as enacted in the EU under a Directive referred to as DACII) which excludes the US.

FATCA – The Foreign Account Tax Compliance provisions (commonly known as FATCA) contained in the US Hire Act 2010. Note this is implemented under an Intergovernmental Agreement between the UK and the US.

Reportable Person – For FATCA purposes is an individual who is a US Citizen or US tax resident. For CRS purposes a Reportable Person is one who is tax resident in a jurisdiction other than the one where the account is held and where the jurisdiction of tax residence has entered into an Automatic Exchange of Information Agreement. In certain circumstances (including if we do not receive a valid self-certification from you upon request) we may be obliged to share information on your account with HMRC if certain information on your account suggests a foreign tax residency and this has not been successfully refuted.

US Person – US Person

The term “US Person” for FATCA means:

- a US citizen or US tax resident individual,
- a partnership organised in the United States or under the laws of the United States or any State thereof,
- a corporation incorporated in the United States or under the laws of the United States or any State thereof,
- a trust if:
 - i. a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and
 - ii. one or more US persons have the authority to control all substantial decisions of the trust.

Reportable Payment – Any distribution from the fund, including accumulation distributions or redemption of shares from the fund. Note a redemption includes a liquidation of your investment during the first 14 days.

Reportable Information – In addition to your name, address, tax residence and tax identification number, the value or balance of your accounts and any Reportable Payments received in a calendar year, will be reported to HMRC as required under the Tax Regulations.

6. Declaration

Please read through the declaration and, if you agree with it, sign and date the appropriate boxes below.

Money Laundering

I understand that Lloyds Wealth (ACD) may need to use credit reference/information agencies in order to satisfy Lloyds Wealth (ACD) statutory money laundering obligations. These agencies may keep a record of this enquiry.

I/We understand that this application will be effected at the ruling buying price at the next valuation point after Lloyds Wealth (ACD)'s receipt of my/our application form and that for lump sum investments a contract note giving details of the shares purchased will be issued no later than the next valuation day following the valuation point. I/We acknowledge that I/we may request the latest Managers' Report and Fund Prospectus, and that these are available from Lloyds Wealth (ACD)'s offices. I/We understand that any monies held as client money on my/our behalf will be held in a client money account which is a noninterest bearing account.

I/We understand and accept that this application is subject to the current applicable Lloyds Wealth (ACD) Prospectus and Terms and Conditions. I/We also confirm that I/we have been provided with the relevant Key Investor Information Document(s) and Supplementary Investor Information Document for each fund.

I/We understand that you will use the Delivery versus Payment Exemption as detailed in the Supplementary Investor Information Document.

If you are completing this form as an individual or individuals, please ensure you complete the Individual Self-Certification in section 4.

Please note that we are unable to accept your application unless a valid Individual Self-Certification is completed which accompanies this application form.

First applicant's signature

Joint holder's signature (if applicable)

Date

D	D	M	M	Y	Y	Y	Y
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I/We declare that:

- I/We are not a US Person and that I/we are not applying as the proxy-holder of a person who is a US Person or I/we are a US Person but only acting as a nominee distributor for underlying investors who are not a US Person;
- I/We have not been solicited to purchase Shares while physically present within the US;
- at the time I/we placed our order to buy Shares I/we were outside of the US;
- I/We will not transfer any of the Shares or any interest therein to a US Person;
- if our underlying Investor status as a non-US person should change, I/we will immediately inform you. In such event, I/we agree that Lloyds Wealth (ACD) shall be entitled to (but shall not be obligated to) repurchase, or to require to us to sell our Shares to a person designated by Lloyds Wealth (ACD).

How we use your information

For the purposes of the General Data Protection Regulation, the data controller in relation to any personal data you supply is Lloyds Wealth (ACD). Information you supply may be processed for the purposes of investment administration by Lloyds Wealth (ACD), by third parties who provide services to Lloyds Wealth (ACD) and by your financial adviser, and such processing may include the transfer of data out of the European Economic Area.

You can find out more about how we use your personal information by visiting our website to view our full privacy notice on

lloydswealth.com/privacy-policy

8. Your preferences

Stay informed, stay ahead

- We would like to share exclusive content with you, including our 'Financial Focus' email series with articles, webinars, and insights tailored to help support your investment journey. Gain access to the latest research, expert tips and updates developed in collaboration with our sister company, Lloyds Wealth*, to keep you informed and maximise your potential as an investor with Lloyds Wealth (ACD)

Your marketing preferences:

I am happy to receive information from Lloyds Wealth. Please mark [X] in the boxes which apply to you:

Email

Post

Telephone

*You will receive marketing from:

- Lloyds Wealth Limited
- Lloyds Wealth (ACD) Limited



[LloydsWealth.com](https://www.LloydsWealth.com)

Please contact us if you'd like this information in an alternative format such as Braille, large print or audio

Calls can be monitored and recorded and call costs may vary depending on your service provider

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