

# Stocks and Shares ISA Transfer Form

# ISA

Please complete this form in BLOCK CAPITALS and black ink and return it to AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2UT, UK.

**Please use this form:**

■ If you wish to invest in an AXA Investment Managers stocks and shares Individual Savings Account (ISA) by transferring your ISA from your existing ISA Manager(s).

**Essential information:**

■ Further information on how to transfer is contained in the Terms and Conditions, Key Investor Information Document (KIID), Supplementary Information Document (SID) and Prospectus.

■ Please read the notes and important information which are contained on the back page.

■ Please note that application forms that are not completed correctly or any failure to provide adequate anti-money laundering verification documents may incur delays in setting up your account and investing in the funds and/or a delay in the acceptance or payment of a transfer.

If you need any further information, please call a member of our team on 0345 777 5511 from the UK or 0044 1268 448 667 from overseas. Our lines are open from 9:00am-5:30pm Monday to Friday or email us at AXA-IM@uk.dstsystems.com. For further information please visit our website [www.axa-im.co.uk](http://www.axa-im.co.uk) or for online access to your account please visit [www.axa-im-investing.co.uk](http://www.axa-im-investing.co.uk).

## 1. About the investor

Title	Surname	Gender												
Forename(s)														
Address <sup>1</sup>		Postcode <sup>1</sup>												
Landline telephone no.	Mobile telephone no.													
Email														
Date of birth	<table border="1"><tr><td>0</td><td>0</td><td>0</td><td>0</td><td>0</td><td>0</td><td>0</td><td>0</td><td>0</td><td>0</td></tr></table>	0	0	0	0	0	0	0	0	0	0	Nationality		
0	0	0	0	0	0	0	0	0	0					
Occupation (industry)	Occupation (role)													
Do you have a National Insurance number?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, you must quote it <sup>2</sup>	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>										
Do you already have an OEIC, Unit Trust or ISA with us?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If so, please quote your account number	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>										

**Attorney details (if applicable)**

Title	Date of Birth	
Surname	Forename(s) (in full)	
Address		
	Postcode	Country
Phone Number	Email Address	

<b>Financial Adviser Details</b>										
Financial Conduct Authority Individual Reference Number										
<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>										
Financial Conduct Authority Firm Reference Number										
<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>										
Please tick if cancellation rights do not apply <input type="checkbox"/>	Please tick if advice has been given. We will assume advice has not been given if left unticked <input type="checkbox"/>									
Financial Adviser stamp										

# Stocks and Shares ISA Transfer Form

## 2. Your Stocks and Shares ISA Transfer: Investment Details for Direct Investors and advised business\*

Please select the Fund(s) and the unit and/or share class you wish to invest in and write the percentage of your current ISA that you wish to transfer into each Fund in the appropriate box. Information on the funds and/or share classes (including charges) and the annual ISA allowance is contained within each KIID and in the SID. The minimum lump sum investment is £1,000 per Fund unless otherwise stated.

D Class	ACC Min £1,000	INCOME Min £1,000
<b>AXA Framlington Authorised Unit Trusts</b>		
AXA Framlington American Growth Fund	£	£
AXA Framlington Biotech Fund	£	£
AXA ACT People and Planet Equity Fund	£	£
AXA ACT Framlington Clean Economy Fund	£	£
AXA Framlington FinTech Fund	£	£
AXA Framlington Global Thematics Fund	£	£
AXA Framlington Global Technology Fund	£	£
AXA Framlington Health Fund	£	£
AXA Framlington Japan Fund	£	£
AXA Framlington Global Sustainable Managed Fund	£	£
AXA Managed Income Fund	£	£

D Class	ACC Min £1,000	INCOME Min £1,000
<b>AXA Framlington Authorised Unit Trusts (cont.)</b>		
AXA Framlington Monthly Income Fund	£	£
AXA Framlington UK Equity Income Fund	£	£
AXA Framlington UK Sustainable Equity	£	£
AXA Framlington UK Mid Cap Fund	£	£
AXA Framlington UK Select Opportunities Fund	£	£
AXA Framlington UK Smaller Companies Fund	£	£
<b>AXA Distribution Investment ICVC</b>		
AXA Distribution Fund	£	£
AXA Ethical Distribution Fund	£	£
AXA Global Sustainable Distribution Fund	£	£
AXA Defensive Distribution Fund	£	£
AXA Global Equity Income Fund	£	£

\* For advised business no rebate is available on this share class

## 3. Your Stocks and Shares ISA Transfer: Investment details for advised business\*

Please select the Fund(s) and the unit and/or share class you wish to invest in and write the percentage of your current ISA that you wish to transfer into each Fund in the appropriate box. Information on the funds and/or share classes (including charges) and the annual ISA allowance is contained within each KIID and in the SID. The minimum lump sum investment is £1,000 per Fund unless otherwise stated.

R Class	ACC Min £1,000	INCOME Min £1,000
<b>AXA Framlington Authorised Unit Trusts</b>		
AXA Framlington American Growth Fund	£	£
AXA Framlington Biotech Fund	£	£
AXA ACT People and Planet Equity Fund	£	£
AXA ACT Framlington Clean Economy Fund	£	£
AXA Framlington FinTech Fund	£	£
AXA Framlington Global Thematics Fund	£	£
AXA Framlington Global Technology Fund	£	£
AXA Framlington Health Fund	£	£
AXA Framlington Japan Fund	£	£
AXA Framlington Global Sustainable Managed Fund	£	£
AXA Managed Income Fund	£	£
AXA Framlington Monthly Income Fund	£	£
AXA Framlington UK Equity Income Fund	£	£
AXA Framlington UK Sustainable Equity	£	£

R Class	ACC Min £1,000	INCOME Min £1,000
<b>AXA Framlington Authorised Unit Trusts (Cont.)</b>		
AXA Framlington UK Mid Cap Fund	£	£
AXA Framlington UK Select Opportunities Fund	£	£
AXA Framlington UK Smaller Companies Fund	£	£
<b>AXA Distribution Investment ICVC</b>		
AXA Distribution Fund	£	£
AXA Ethical Distribution Fund	£	£
AXA Global Sustainable Distribution Fund	£	£
AXA Defensive Distribution Fund	£	£
AXA Global Equity Income Fund	£	£
<b>AXA Fixed Interest Investment ICVC</b>		
AXA Global High Yield Fund	£	£
AXA Sterling Corporate Bond Fund	£	£
AXA Sterling Credit Short Duration Bond Fund	£	£

\* This shareclass may be used for rebate and trail commission arrangements.



# Stocks and Shares ISA Transfer Form

## 8. Declaration (you must sign and date this section)

### I declare that:

- I am aged 18 years or over.
- I have read the Terms and Conditions, the latest KIID and the SID.
- I/we confirm that I/we cannot be classified as a U.S. person(s) as defined in the Prospectus.
- I am a 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 AXA Investment Managers UK Limited if I cease to be a resident of the United Kingdom or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
- 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(s) that I subscribe to this stocks and shares ISA.
- All subscriptions made to this stocks and shares ISA belong to me. I hereby authorise AXA Investment Managers UK Limited:
  - to hold my transfer proceeds, account investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash;
  - to make any claims to relief from tax in respect of account investments on my behalf, and; on my written request to transfer or pay to me, as the case may be, account investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

### I apply to transfer to an AXA IM Stocks and Shares ISA

- I hereby declare that to the best of my knowledge and belief the information on this form is true and correct and I agree to the Terms and Conditions provided.
- I agree to inform AXA Investment Managers UK Limited in writing of any change in my circumstances affecting any of the information on this Application Form. I understand that this transfer is subject to acceptance by the ISA Manager.
- I have fulfilled all the obligations imposed on me by the ISA Regulations.
- I have read the Terms and Conditions which explain that AXA Investment Managers UK Limited may use the delivery versus payment exemption and understand that my money will not be protected from the insolvency of AXA Investment Managers UK Limited during the periods covered by the exemption. I agree, on a continuing basis, to AXA Investment Managers UK Limited making use of the delivery versus payment exemption as described in the Terms and Conditions.

Signature	Date
-----------	------

Attorney's signature: (if applicable)	Date
--	------

\* We require the account holder to sign in conjunction with the attorney, unless there is a physical or mental incapacity.

## 9. Notification to your existing ISA Plan Manager to transfer an ISA

Where ISAs are being transferred from more than one ISA Plan Manager, additional copies of this form are available.

### EXISTING ISA PLAN MANAGER DETAILS

Name of ISA Plan Manager
Account number
Address
Postcode

### INVESTOR'S DETAILS

Name of Investor									
Address									
								Postcode	
Date of birth	D	M	Y	M	M	Y	Y	Y	Y
Do you have a National Insurance number?      Yes <input type="checkbox"/> No <input type="checkbox"/>									
If yes, you must quote it <sup>2</sup>									

### STOCKS AND SHARES AND/OR CASH ISA TRANSFERS

ISA TYPE	Previous tax year subscriptions	Current tax year subscriptions
Tick the appropriate box or boxes:	Full transfer or Partial transfer	Full transfer
I wish to transfer my Cash ISA	<input type="checkbox"/> 100% <input type="checkbox"/> £ <input style="width: 50px;" type="text"/>	<input type="checkbox"/> 100%
I wish to transfer my Stock and Shares ISA	<input type="checkbox"/> 100% <input type="checkbox"/> £ <input style="width: 50px;" type="text"/>	<input type="checkbox"/> 100%

### Declaration and signature

- I wish to transfer my ISA(s), detailed above, to **AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2UT.**
- I hereby instruct you to liquidate the assets within the above ISA Account and to transfer the proceeds to AXA Investment Managers UK Limited - ISA Client Account, subject to their acceptance of the transfer. Please confirm your receipt of this instruction. Please inform me of the transfer value and transfer date as soon as practicable following completion of the transfer.
- Please accept this form as my authority for you to provide AXA Investment Managers UK Limited with any information they may request from you relating to my ISA(s).

Signature	Date
-----------	------

Attorney's signature: (if applicable)	Date
--	------

\* We require the account holder to sign in conjunction with the attorney, unless there is a physical or mental incapacity.

# Stocks and Shares ISA Transfer Form

## 10. Important information/Notes

- 1 Please state your permanent residential address. You must also include your postcode.
- 2 You should be able to find your National Insurance number on a payslip, P45 or P60 form, a letter from the HM Revenue & Customs, a letter from the Department of Work and Pensions, or a pension order book. Otherwise your employer or tax office may be able to help you. Failure to provide your National Insurance number within 30 days will result in your plan being made VOID with any tax benefits being returned to HM Revenue & Customs.
- 3 This transfer form can be used for transferring existing stocks and shares and/or cash ISAs held with other providers to the stocks and shares ISA held with AXA Investment Managers UK Limited.  
You may not transfer a stocks and shares ISA into a cash ISA. AXA Investment Managers UK Limited does not offer cash ISAs.  
The actual transfer proceeds of your existing ISA(s) cannot be calculated by your existing ISA manager until the moment of transfer to AXA Investment Managers UK Limited. The ISA Manager will then inform AXA Investment Managers UK Limited of the proceeds and we will invest these for you in accordance with the investment choice you have detailed on this application form.  
Previous Tax Years' ISA investments can be transferred in whole or as a percentage of the total invested in your stocks and shares ISA.  
Current tax year ISA investments can only be transferred in total.  
The minimum you can transfer and invest in a single Fund is £1,000.  
You must be aged 18 or over to transfer an existing ISA to us.
- 4 If you have chosen to invest in INCOME SHARES please complete the bank details in section 3 and return it to: AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2U. Alternatively, depending on the unit and/or share class of the fund(s) in which you have invested, income will be automatically reinvested for you.
5. If you have appointed an attorney to act on your behalf, we require you to sign in conjunction with the attorney, unless there is a physical or mental incapacity. You also need to enclose a certified copy power of attorney confirming the appointment of your attorney, if you have not already registered one with us in respect of this account. Further, before we accept an application, we may make electronic checks on the identity and address of your appointed attorney and may also ask for documentary evidence for verification purposes.

**MONEY LAUNDERING PREVENTION:** To comply with money laundering prevention regulations, if you are planning to invest in regular instalments by Direct Debit: WE REQUIRE YOUR FIRST PAYMENT TO BE MADE BY CHEQUE.

Future Direct Debit Payments must originate from the same account as the original cheque. Payments which include cheques must be held in the name of the investor and originate from a recognised UK or EU Bank or Building Society. AXA Investment Managers UK Limited reserves the right to return applications and/or payment howsoever composed if they do not satisfy these requirements/or which appear to be made from another source.

A copy of this application form, Terms and Conditions, KIID, SID and the most up-to-date copies of the Report and Accounts and the current Prospectus for all Funds within the AXA IM range are available free of charge from the office of the administrator at the address below.

**Please send your completed application form to:  
AXA Investment Managers UK Limited, PO Box 10908, Chelmsford CM99 2UT.**

Please remember that there may be a delay in implementing your instructions if you do not send them to the correct address.

AXA is a worldwide leader in financial protection and wealth management. AXA Investment Managers UK Limited (AXA IM UK) is the Authorised Corporate Director, Authorised Fund Manager and Investment Manager for a range of Open Ended Investment Companies (OEICs) and Authorised Unit Trusts. AXA IM UK also acts as an ISA plan manager for the AXA IM range of OEICs and Authorised Unit Trusts. AXA IM UK is registered in England and Wales No. 01431068. Registered office: 22 Bishopsgate London EC2N 4BQ. AXA IM UK is authorised and regulated by the Financial Conduct Authority (No. 119368). Administration office: PO Box 10908, Chelmsford, CM99 2UT. Tel: 0345 777 551. As part of our commitment to quality service, telephone calls may be recorded.

Design & Production: Internal Design Agency (IDA) | June 2024 - | 21268a

[axa-im.co.uk](https://www.axa-im.co.uk)    