



TRANSFER APPLICATION FORM (TRANSFER TO A STOCKS & SHARES ISA)

This application form is for customers who wish to transfer an ISA from their current ISA provider to a stocks & shares ISA provided by RLUM Limited.

Before we can accept your application we require confirmation that you have read the Key Investor Information Document (KIID) for each of the funds you wish to invest in. By signing the declaration on page 4, you are confirming that you read this document. We also recommend that you read the Costs & Charges Disclosure Document (CCDD) for each of the funds you wish to invest in together with the Supplementary Information Document (SID) which contains our Terms and Conditions. These documents can be found on our website **myisa.royallondon.com** and then by following the instructions within the Important Information section. If you would like copies, or if you have any questions, please call us on **0345 605 7777**.

1. Personal details

Existing Investor ID Number

Full name

Address

Postcode

Date of birth

Do you have a National Insurance (NI) number?

Yes No

You can find this on a payslip, a P60 form or by contacting your local tax office.

If yes, please enter it here

Name of current ISA provider

Provider's address

Postcode

Account number

The subscriptions relate to (please tick relevant box)

Current tax year Previous tax year

Both

Type of ISA to be transferred (please tick relevant box)

Cash Stocks & Shares

Cash and Stocks & Shares

I wish to transfer (please tick relevant box)

Full amount

Partial amount

£

Amount to be transferred
(for partial transfers only)*

* Please note that if current tax year subscriptions are being transferred, these current tax year subscriptions must be transferred in whole.

2. How is my personal information used?

This section is a notice which we are required to give you under the data protection laws. We, RLUM Ltd, will collect and use your personal information, including any sensitive personal information where necessary.

We may update this notice from time to time and we will alert you to any important updates. It's not meant to be a legal contract between you and Royal London, and does not affect your rights under the data protection laws.

In this notice we have included the uses that we feel would be most important to you.

We use your information for the following:

- Arranging, providing, administering your ISA and managing any queries or claims.
- Verifying your identity and carrying out fraud prevention checks. We will use a reputable reference agency who will access a range of data such as information from the electoral register. Although we will keep a record of this search, we will not share it outside the Royal London Group.
- To ensure we meet our legal and regulatory responsibilities.
- If we lose touch we will use a trusted 3rd party to find you and reunite you with your policy.

We also use your information for other activities. Where we do this we require a 'legitimate interest'. This is when each activity is assessed and your rights and freedoms are taken into account ensuring that nothing we do is too intrusive or beyond your reasonable expectation. We use legitimate interests for:

- Market research - We use personal information to help us understand that our products and services suit the needs of our customers and meet your expectations. We also do this to improve your customer experience;
- Analytics and Insight - We generally combine your information with other customers' in order to check if our products are priced fairly and are suitable for our customers. We also do this to check that our communications are easy to understand.
- Marketing and Communications - To send you information about your products and other products you may be interested in.

We use a trusted 3rd party to help us to provide you with communications relevant to you, and reduce the chances of you receiving information you wouldn't want. There is more information on marketing and communications in our full Privacy Notice on our website.

We may monitor and record phone calls, such as when you apply or when dealing with queries and claims, for training and quality purposes. We do this so we have accurate records of what you tell us to do.

Providing information about someone else

If you provide information to us about someone else, you must have their permission to do so, and have told them about how we will use their personal information.

How long will you hold my personal information?

We'll keep your personal information for as long as is needed, for the purpose for which it was collected, and to comply with our legal and regulatory responsibilities. This will involve keeping your information for a reasonable period of time after your plan or your relationship with us has ended.

If there aren't any legal, regulatory or contractual requirements, any other personal information is kept for seven years from the date your plan ended.

How will my personal information be shared?

Your information will be used by employees of Royal London, who need to see or work on your policy. In addition to our own staff we share your information with other companies so that we can administer your policy and provide our services to you. Such as:

- other companies within the Royal London Group;
- our service providers and agents e.g. who print your annual statement, our data storage providers, who send an email on our behalf following a quote;
- approved IT specialists e.g. those who support our IT systems;
- our third party advisers, such as auditors, underwriters, reinsurers, medical agencies and legal advisers;
- identity authentication and fraud prevention agencies; and/or
- legal and regulatory bodies.

How will my personal information be protected?

We will protect your personal information with the right level of security. Depending on the policy you have with us, some of your personal data might be processed overseas outside of the European Economic Area (EEA). We take the steps needed to make sure that your information is treated securely and has the right legal protection.

How can I find out more?

- You can find out more information about how we handle your personal information by visiting our Privacy Notice at www.royallondon.com/legal/privacy/
- Our full Privacy Notice contains more detail on:
 - (i) our legal grounds for using your personal information (including more information about our legitimate interests and our approach to sending marketing communications);
 - (ii) how your personal information is protected if we transfer it overseas;
 - (iii) how we protect your personal information;
 - (iv) how long we keep your personal information for; and
 - (v) your rights under the data protection laws and how to exercise them (including how to object to marketing we send to you and to processing done under legitimate interests)

Marketing

You have a specific right to object to marketing we send to you. If you would like to do this or change how you'd like to receive marketing, please contact us on **0345 600 7788** or by email at **GDPR@royallondon.com**

What are my rights?

If you are not able to access the full Privacy Notice at www.royallondon.com/legal/privacy/ or you would prefer a recorded version you can call 0800 085 8352. If you prefer to receive the full Privacy Notice in another format, please also use this telephone number, or contact us at the email or postal address below.

If you wish to use any of your rights under the data protection laws, please contact us. For example, you might want to access a copy of your information, or to correct any inaccurate information. You should contact our Data Protection Officer by email at GDPR@royallondon.com or by post to Royal London, Royal London House, Alderley Road, Wilmslow, Cheshire, SK9 1PF.

3. Declarations

I apply to transfer my existing ISA [and subscribe to this stocks & shares ISA for the tax year 20 / and each subsequent year until further notice]. Delete the words in brackets if you will not be subscribing to this ISA.

I authorise RLUM 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 (delete if you will not be subscribing to this ISA)

or

- to make on my behalf any claims to relief from tax in respect of ISA investments.

I declare that: (if you will not be subscribing to this ISA, please delete the following declarations where indicated)

- all subscriptions made, and to be made, to this RLUM Limited ISA belong to me (delete if you will not be subscribing to this ISA)
- I am 18 years of age or over
- 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 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 RLUM 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 have not subscribed/made payments, and will not subscribe/make payments, more than the overall subscription/payment limit in total to a cash ISA, a stocks and shares ISA, an innovative finance ISA, and a Lifetime ISA in the same tax year
- I have read the latest Key Investor Information Document for each fund that I wish to invest in. These documents can be found on our website myisa.royallondon.com and then by following the instructions within the Important Information section. Alternatively call us on **0345 605 7777** if you'd like us to send you copies.
- I am aware that RLUM Limited maintains client money bank accounts with third party UK banks outside of The Royal London Group. I consent to my money being held temporarily as client money in this account whilst my instructions are processed
- I agree to the ISA terms and conditions.
- the information contained in this application form is correct to the best of my knowledge and belief and I will inform RLUM Limited of any change affecting the information I have given.

Signature

Date

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Royal London

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royallondon.com

RLUM Limited is authorised and regulated by the Financial Conduct Authority. The firm is on the Financial Services Register, FCA number 144032.
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