

New City Investment Manager (NCIM) ISA Application Form

SECTION 1

Personal Details

This application will relate to the Tax Year commencing 6 April 20□ and to any subsequent consecutive tax years in which subscriptions are made.

If you are investing by monthly Direct Debit and wish to restrict your Direct Debit to the current tax year only, please tick this box

Please use a separate application for each individual investor.

Surname _____ Mr/Mrs/Miss/Ms/Title _____

Full Forename(s) _____

Permanent Residential Address (incl. house no) _____

Postcode _____

Occupation _____

Time at Current Address _____ years _____ months. If less than three years, please give details of your previous Residential Address.

Postcode _____

Daytime Telephone No. (incl. area code) _____ E-mail _____

Account Code (for existing investors) D00 _____

National Insurance No.* _____ Date of Birth* (DD,MM,YYYY) _____

Nationality _____ Country of Residence _____

HSDL Security Details:

Mother's Maiden Name _____ First Job/Employer _____

Father's Initials _____

Investment Split (must total 100%):

City Natural Resources (CYN) _____ % New City High Yield (NCHF) _____ %

Income Handling Option:

Re-invest into Source Stock Pay to my nominated bank account

Please note:

1. To ensure processing in the current tax year, this application must be received at least seven days prior to 5 April.
2. Dividends will be reinvested in your ISA or paid to your nominated bank account as applicable.
3. This Application shall be rejected and returned to you, if it is not fully completed.

*The Government's ISA regulations stipulate that an individual must state his or her National Insurance Number (NINO) and Date of Birth. You should be able to find your NINO on a payslip, form P45, P60, a letter from HMRC or from DWP or pension order book. If you do not have a record of your National Insurance Number it can be obtained by contacting your tax office, employer or tax adviser.

If you have never had a National Insurance Number and are not in receipt of a National Insurance Retirement Pension, please tick this box.

SECTION 2

Payment

Lump Sum Investment

This application form should be accompanied by a cheque for either the minimum investment amount of £1000 or a higher amount up to a maximum of £7200, drawn on an account held in the name of the ISA investor, either solely or jointly and made payable to NCIM ISA. Each completed application should be covered by a separate cheque. If you already have an NCIM ISA, you may invest by Debit Card and dispense with the need to complete an Application Form. To do this you should telephone Halifax Share Dealing Limited (HSDL) on 0845 850 0181.

Monthly Investments

This application form should be accompanied by a completed Direct Debit Instruction and where applicable a cheque for the "top up" amount made payable to NCIM ISA. Please note that the Direct Debit must be on an account held in the name of the ISA investor either solely or jointly.

SECTION 3

Declaration and Signature

I am applying to subscribe a lump sum of £7,200 to the NCIM ISA for this tax year and for each subsequent tax year.

I am applying to subscribe 12 monthly payments of £600 to the NCIM ISA for this tax year and for each subsequent tax year.

I am applying to subscribe monthly payments of £600 together with such "top up" amount as may be required for this tax year and a first payment of £600 and eleven further payments of £600 to the NCIM ISA for each subsequent tax year.

* Please tick one of the above boxes.

If you wish to restrict your investment to the current tax year only, please tick this box.

This declaration records the terms of the declaration made by the applicant named below. Any amendments/deletions to the declaration will invalidate the verification.

I declare that:

- a) I am 18 years of age or over;
- b) I have not subscribed and will not subscribe more than £7,200 in total to a cash ISA and a stocks and shares ISA in the same tax year that I subscribe to this ISA;
- c) 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;
- d) 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 HSDL 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;
- e) All subscriptions made, and to be made, belong to me.

Declaration and Signature

To: **HSDL Nominees Limited**

This declaration records the terms of the declaration made by the applicant named below. Any amendments/deletions to the declaration will invalidate the verification.

- (a) I agree to the NCIM ISA Terms and Conditions. I confirm that the information provided on this form is true and correct to the best of my knowledge and belief. I agree to be an execution only client and will not seek investment advice from Halifax Share Dealing Limited (HSDL).
I understand that I will be categorised as a retail client.
- (b) I acknowledge that this application is subject to the Terms and Conditions of the NCIM ISA. I acknowledge that I have read the Key Features as set out in the accompanying documentation.
- (c) I direct you to invest my payment in the purchase of ordinary shares in either CYN and/or NCHF and undertake that if any subscription is made by cheque, the cheque will be met on first presentation and declare that this subscription is made using my own funds.
- (d) I appoint HSDL Nominees Limited to hold CYN and/or NCHF shares purchased on my behalf and to my order.
I direct HSDL Nominees Limited that in the event that I have not given instructions in writing to vote or not vote on my behalf any CYN and/or NCHF shares held by them on my behalf at any meeting of shareholders five days before the time of the relevant meeting, HSDL Nominees Limited will refrain from exercising any voting rights attaching to such shares.
- (e) I agree to accept CYN and/or NCHF shares up to the value applied for less the costs specified or provided for in the Terms and Conditions.
- (f) I acknowledge that all telephone conversations connected with investment may be recorded.

Your information and how we use it

NCIM delegates the administration of the NCIM ISA and Investment Plan to HSDL. In assessing your application and confirming your identity, we'll use credit reference agency files and fraud prevention agency records. It's important to read about how we handle your personal data which is detailed in our Terms and Conditions booklet which is enclosed.

If false or inaccurate information is provided and fraud is identified, details will be passed to fraud prevention agencies to prevent fraud and money laundering.

Any information you provide will be held by HSDL and will not be passed on to any other product or service companies. We'll use it mainly to look after your account or to provide services for you. Your details may be used by NCIM Investment Managers Limited to send you information on other products and services they offer. If you would prefer not to receive such information, please contact NCIM Investment Managers Limited in writing at:

CQS Cayman Limited Partnership, 5th Floor, 33 Grosvenor Place, London, SW1X 7HY.

By signing your application, you agree that we can use your information in the ways described.

Contractual relationship – I understand and agree that all instructions given by me via the internet have the effect of creating a contractual relationship which has legal consequences.

Signature: _____ Date: _____

Checklist

Have you enclosed?

1. Your completed and signed NCIM ISA Application Form?
2. Your personal cheque for the lump sum, or the first month's instalment, payable to NCIM ISA?
3. A Direct Debit instruction (if applicable)?

All of these should be returned to:

NCIM, Halifax Share Dealing Limited, Lovell Park Road, Leeds LS1 1NS, Tel: 0845 850 0181

New City Investment Managers (NCIM) ISA

Please fill in the whole form using a ball point pen and send it to:
NCIM ISA, Halifax Share Dealing Limited, Lovell Park Road Leeds LS1 1NS

Name(s) of Account Holder(s) _____

Bank/Building Society Account Number

Branch Sort Code — —

Name and full postal address of your Bank or Building Society

To: **The Manager Bank/Building Society**

Address _____

Postcode _____

Originator's Identification Number **728798**

Instruction to your Bank or Building Society to pay by Direct Debit

Instruction to your Bank or Building Society

Please pay HSDL Direct Debits from the account detailed on this instruction subject to the safeguards assured by the Direct Debit Guarantee.

I understand that this instruction may remain with HSDL and if so, details may be passed electronically to my Bank/Building Society.

Signature: _____ Date: _____

Banks and Building Societies may not accept Direct Debit Instructions for some types of account



This guarantee should be detached and retained by the Payer.

The Direct Debit Guarantee

This guarantee is offered by all Banks and Building Societies that take part in the Direct Debit Scheme. The efficiency and security of the Scheme is monitored and protected by your own Bank or Building Society.

If the amounts to be paid or payment dates change, Halifax Share Dealing Limited will notify you three working days in advance of your account being debited or as otherwise agreed.

If an error is made by Halifax Share Dealing Limited or your Bank or Building Society, you are guaranteed a full and immediate refund from your branch of the amount paid.

You can cancel a Direct Debit at any time by writing to your Bank or Building Society. Please also send a copy of your letter to HSDL.