



Stocks and Shares ISA Transfer Form

For transferring a stocks and shares ISA to a cash ISA with Santander UK plc.

Santander UK plc is **not** a flexible ISA provider.

If you transfer an ISA to Santander and have built up previous tax year flexible allowances with your current provider, you will lose that allowance when you move to Santander. If you wish to use the flexible allowance you should re-deposit into your existing ISA **before** you transfer to Santander.

For internal use only

Four digit Partenon centre number:

Branch number:

How to fill in this form

Use this form to transfer in funds you already have in a stocks and shares ISA to the cash ISA you already have with Santander.

If you have more than one existing stocks and shares ISA you'll have to complete one of these forms for each stocks and shares ISA that you are transferring.

You must already hold a Santander cash ISA to use this form. Please ensure the terms and conditions of your Santander cash ISA allow transfers in.

When you have completed and signed this form, please send it to ISA Customer Services, PO Box 1112, 9 Nelson Street, Bradford BD1 9NR.

1 About you

Title (Mr, Mrs, Ms, Miss, Other)

First name(s)

Middle name

Surname

Date of birth

National Insurance number

Telephone number (including area code)

Mobile number

Permanent residential address

Postcode

Santander cash ISA sort code

Santander cash ISA number

Email address

2 Details of the stocks and shares ISA to be transferred

Existing stocks and shares ISA provider

Address of existing stocks and shares ISA provider

Postcode

Existing stocks and shares ISA account number/reference

Please note:

As well as being subject to the terms of the cash ISA receiving the transfer proceeds, the transfer will be undertaken subject to the terms and conditions applying to your stocks and shares ISA.

For example:

- Some stocks and shares ISA products do not allow only part of an ISA to be transferred, or may place conditions on how such a transfer is undertaken, e.g. when deciding which investments are sold to facilitate the transfer.
- Your existing stocks and shares ISA provider may need you to give them specific information before the transfer can go ahead.
- There may be outstanding fees to pay before the transfer goes ahead.

If you are not sure what conditions apply please check with your existing stocks and shares ISA provider before completing this form.

(1) Do you wish to transfer all or part of your existing stocks and shares ISA?

All ☐ Part ☐

If you currently hold more than one investment and tick 'All' we will transfer all of the investments that you hold within the existing stocks and shares ISA account number/reference provided. If you are unsure what investments are held within your stocks and shares ISA, please contact your existing stocks and shares provider before completing the form. The sale proceeds, together with any uninvested cash currently held in the ISA will be transferred to your Santander cash ISA in its entirety.

(2) Have you subscribed to this stocks and shares ISA in the current tax year?

Yes ☐ No ☐

If you answered 'All' to question 1, please go directly to Question 5. If you answered 'Part' to question 1, please answer questions 3-6.

Partial Transfers

(3) If you answered 'yes' to question 2, do you want to transfer your current tax year ISA subscription (this would involve selling any investments made with the subscription from the current tax year)? **Please note that the amount in your stocks and shares ISA representing current tax year subscriptions can only be transferred in whole and not in part.**

Yes ☐ No ☐

(4) If you only want to transfer your subscriptions from the current tax year, tick here ☐

Or

If you only want to transfer subscriptions from previous tax years, tick here ☐

Or

If you want to transfer some of your subscriptions from previous tax years (as well as current year subscriptions if you answered 'yes' to question 3), tick here and provide sale instructions by answering question 5. ☐

2 Details of the stocks and shares ISA to be transferred (continued)

Please check your selection is permitted by your existing stocks and shares ISA provider prior to submitting the form. You may have to make contact with your existing stocks and shares ISA provider to help you specify what to sell in order to meet a target transfer value given below. Please note that you may be contacted by your existing stocks and shares ISA provider to agree what to sell.

Stocks, shares, units, etc that you wish to sell

(5) Please use the box below to give instructions to your existing stocks and shares ISA provider with regard to what specific value or tax year(s) should be transferred and/or what investments should be realised to meet the transfer.

If needed, please list all investments that you hold with your existing stocks and shares ISA provider that you wish to sell and transfer the proceeds to your cash ISA with Santander UK plc.

Alternatively, you may provide this information by supplying a separate list, e.g. by annotating a valuation statement from your provider.

Uninvested cash to be transferred

(6) Please say how much of your uninvested cash balance in your stocks and shares ISA you want to transfer.

£							.		
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Or

If you want to transfer all of your uninvested cash balance, tick here

☐

Description of investment (Fund name)	Investment indicator e.g. ISIN, Sedol, Cuip etc. (if known)	Amount of stocks, shares, units, etc. or specify 'All' to sell the entire holding	Minimum value to be realised for specified holding (if relevant)	If you wish for an immediate transfer specify 'Immediate'. If you wish to wait until redemption specify 'Redemption'

Residual Income

- We do not accept residual income payments.
- If you have any questions regarding these payments please contact your existing stocks and shares ISA provider.

3 Transfer authority

I have read the Data Protection Statement (Section 5).

I agree to the cash ISA Terms and Conditions.

I declare that this transfer authority form has been completed to the best of my knowledge and belief.

I authorise my existing stocks and shares ISA provider as specified overleaf to sell investments and transfer the ISA in cash to Santander UK plc.

I authorise my existing stocks and shares ISA provider to provide Santander UK plc with any information, written or non-written, concerning the stocks and shares ISA and to accept any instruction from them relating to the stocks and shares ISA being transferred.

Where I must give notice to close or transfer part of the existing stocks and shares ISA, or the existing stocks and shares ISA contains an investment which is designed and intended to be held for full term and has yet to reach redemption, I instruct my existing ISA provider to either: (tick the appropriate box)

- Wait for the full notice period to end, or wait until redemption (whichever is relevant) before going ahead with the transfer. ☐
- Depending on the terms and conditions, carry out the transfer as soon as possible – I accept any consequential loss of income, capital and/or charges that may be applied. ☐

Signature

Date

D	D	M	M	Y	Y	Y	Y
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4 Transfer Acceptance (for office use only)

We are willing to accept this ISA transfer in line with the customer's instructions above, as long as the following conditions are met.

- The transfer proceeds are made up of cash deposits only.
- We must receive all the transfer proceeds no later than

D	D	M	M	Y	Y	Y	Y
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- Where the customer has shown above that they want to transfer subscriptions from the current tax year, these must not be more than

£								.		
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Cheques should be made payable to Santander UK plc.

For the purposes of the ISA wrapper under the ISA regulations, the date shown below will be the effective transfer date.

D	D	M	M	Y	Y	Y	Y
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Name of new ISA provider: Santander UK plc.

Residual Income

- We do not accept residual income payments.

5 Data Protection Statement

Introduction

My personal data is data which by itself or with other data available to you can be used to identify me. You are Santander UK plc, the data controller. This data protection statement sets out how you'll use my personal data. I can contact your Data Protection Officer (DPO) at 201 Grafton Gate East, Milton Keynes, MK9 1AN if I have any questions.

The types of personal data you collect and use

Whether or not I become a customer, you'll use my personal data for the reasons set out below and if I become a customer you'll use it to manage the account, policy or service I've applied for. You'll collect most of this **directly** during the application journey. The sources of personal data collected **indirectly** are mentioned in this statement. The personal data you use may include:

- Full name and personal details including contact information (e.g. home address and address history, email address, home and mobile telephone numbers);
- Date of birth and/or age (e.g. to make sure that I'm eligible to apply);
- Financial details (e.g. salary and details of other income, and details of accounts held with other providers);
- Records of products and services I've obtained or applied for, how I use them and the relevant technology used to access or manage them (e.g. mobile phone location data, IP address, MAC address);
- Biometric data (e.g. fingerprints and voice recordings for TouchID and voice recognition);
- Information from credit reference or fraud prevention agencies, electoral roll, court records of debt judgements and bankruptcies and other publicly available sources as well as information on any financial associates I may have;
- Family, lifestyle or social circumstances if relevant to the product or service (e.g. the number of dependants I have);
- Education and employment details/employment status for credit and fraud prevention purposes; and
- Personal data about other named applicants. I must have their authority to provide their personal data to you and share this data protection statement with them beforehand together with details of what I've agreed on their behalf.

Providing my personal data

You'll tell me if providing some personal data is optional, including if you ask for my consent to process it. In all other cases I must provide my personal data so you can process my application (unless I'm a customer and you already hold my details).

Monitoring of communications

Subject to applicable laws, you'll monitor and record my calls, emails, text messages, social media messages and other communications in relation to my dealings with you. You'll do this for regulatory compliance, self-regulatory practices, crime prevention and detection, to protect the security of your communications systems and procedures, to check for obscene or profane content, for quality control and staff training, and when you need to see a record of what's been said. You may also monitor activities on my account where necessary for these reasons and this is justified by your legitimate interests or your legal obligations.

Using my personal data: the legal basis and purposes

You'll process my personal data:

1. As necessary **to perform your contract with me** for the relevant account, policy or service:
 - a) To take steps at my request prior to entering into it;
 - b) To decide whether to enter into it;

- c) To manage and perform that contract;
 - d) To update your records; and
 - e) To trace my whereabouts to contact me about my account and recovering debt.
2. As necessary **for your own legitimate interests** or those of other persons and organisations, e.g.:
 - a) For good governance, accounting, and managing and auditing your business operations;
 - b) To search at credit reference agencies if I'm over 18 and apply for credit;
 - c) To monitor emails, calls, other communications, and activities on my account;
 - d) For market research, analysis and developing statistics; and
 - e) To send me marketing communications and for marketing to me in-branch, including automated decision making relating to this.
 3. As necessary **to comply with a legal obligation**, e.g.:
 - a) When I exercise my rights under data protection law and make requests;
 - b) For compliance with legal and regulatory requirements and related disclosures;
 - c) For establishment and defence of legal rights;
 - d) For activities relating to the prevention, detection and investigation of crime;
 - e) To verify my identity, make credit, fraud prevention and anti-money laundering checks; and
 - f) To monitor emails, calls, other communications, and activities on my account.
 4. Based on **my consent**, e.g.:
 - a) When I request you to disclose my personal data to other people or organisations such as a company handling a claim on my behalf, or otherwise agree to disclosures;
 - b) When you process any special categories of personal data about me at my request (e.g. my racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, genetic data, biometric data, data concerning my health, sex life or sexual orientation); and
 - c) To send me marketing communications where you've asked for my consent to do so.

I'm free at any time to change my mind and withdraw my consent. The consequence might be that you can't do certain things for me.

Sharing of my personal data

Subject to applicable data protection law you may share my personal data with:

- The Santander group of companies* and associated companies in which you have shareholdings;
- Sub-contractors and other persons who help you provide your products and services;
- Companies and other persons providing services to you;
- Your legal and other professional advisors, including your auditors;
- Fraud prevention agencies, credit reference agencies, and debt collection agencies when you open my account and periodically during my account or service management;
- Other organisations who use shared databases for income verification and affordability checks and to manage/collect arrears;

5 Data Protection Statement (continued)

- Government bodies and agencies in the UK and overseas (e.g. HMRC who may in turn share it with relevant overseas tax authorities and with regulators e.g. the Prudential Regulation Authority, the Financial Conduct Authority, the Information Commissioner's Office);
- Courts, to comply with legal requirements, and for the administration of justice;
- In an emergency or to otherwise protect my vital interests;
- To protect the security or integrity of your business operations;
- To other parties connected with my account e.g. guarantors and other people named on the application including joint account holders who will see my transactions;
- When you restructure or sell your business or its assets or have a merger or re-organisation;
- Market research organisations who help to improve your products or services;
- Payment systems (e.g. Visa or Mastercard) if you issue cards linked to my account, who may transfer my personal data to others as necessary to operate my account and for regulatory purposes, to process transactions, resolve disputes and for statistical purposes, including sending my personal data overseas; and
- Anyone else where you have my consent or as required by law.

International transfers

My personal data may be transferred outside the UK and the European Economic Area. While some countries have adequate protections for personal data under applicable laws, in other countries steps will be necessary to ensure appropriate safeguards apply to it. These include imposing contractual obligations of adequacy or requiring the recipient to subscribe or be certified with an 'international framework' of protection. Further details can be found in the 'Using My Personal Data' booklet.

Identity verification and fraud prevention checks

The personal data you've collected from me at application or at any stage will be shared with fraud prevention agencies who will use it to prevent fraud and money-laundering and to verify my identity. If fraud is detected, I could be refused certain services, finance or employment in future. You may also search and use your internal records for these purposes. Further details on how my personal data will be used by you and these fraud prevention agencies, and my data protection rights, can be found in the 'Using My Personal Data' booklet.

My marketing preferences and related searches

You'll use my home address, phone numbers, email address and social media (e.g. Facebook, Google and message facilities in other platforms) to contact me according to my preferences. I can change my preferences or unsubscribe at any time by contacting you. In the case of social media messages I can manage my social media preferences via that social media platform. If I'm over 18, you may search the files at credit reference agencies before sending marketing communications or doing marketing in-branch to me about credit. The credit reference agencies don't record this particular search or show it to other lenders and it won't affect my credit rating. You do this as part of your responsible lending obligations which is within your legitimate interests.

From time to time you'd like to contact me about products, services and offers that may interest me or to get my opinion on how you are doing. I understand you won't bombard me and I can choose to stop receiving information at any time by contacting you.

I have ticked any box(es) I **WOULD NOT** like you to use:

- ☐ Email, text, social media and messaging services
- ☐ Phone
- ☐ Post
- ☐ Market research, including customer satisfaction surveys
- ☐ **All of the above**

Automated decision making and processing

Automated decision making involves processing my personal data without human intervention to evaluate my personal situation such as my economic position, personal preferences, interests or behaviour, for instance in relation to transactions on my accounts, my payments to other providers, and triggers and events such as account opening anniversaries and maturity dates. You may do this to decide what marketing communications and marketing in-branch is suitable for me, to analyse statistics and assess lending and insurance risks. All this activity is on the basis of your legitimate interests, to protect your business, and to develop and improve your products and services, except as follows; when you do automated decision making including profiling activity to assess lending and insurance risks, this will be performed on the basis of it being necessary to perform the contract with me or to take steps to enter into that contract. Further details can be found in the 'Using My Personal Data' booklet.

Criteria used to determine retention periods (whether or not I become a customer)

The following criteria are used to determine data retention periods for my personal data:

- **Retention in case of queries.** You'll retain my personal data as long as necessary to deal with my queries (e.g. if my application is unsuccessful);
- **Retention in case of claims.** You'll retain my personal data for as long as I might legally bring claims against you; and
- **Retention in accordance with legal and regulatory requirements.** You'll retain my personal data after my account, policy or service has been closed or has otherwise come to an end based on your legal and regulatory requirements.

My rights under applicable data protection law

My rights are as follows (noting that these rights don't apply in all circumstances and that data portability is only relevant from May 2018):

- The **right to be informed** about your processing of my personal data;
- The right to have my personal data **corrected if it's inaccurate** and to have **incomplete personal data completed**;
- The right **to object** to processing of my personal data;
- The right **to restrict processing** of my personal data;
- The right **to have my personal data erased** (the "right to be forgotten");
- The right to **request access** to my personal data and information about how you process it;
- The right to **move, copy or transfer my personal data** ("data portability"); and
- Rights in relation to **automated decision making** including profiling.

I have the right to complain to the Information Commissioner's Office. It has enforcement powers and can investigate compliance with data protection law: ico.org.uk.

For more details on all the above I can contact your DPO or request the 'Using My Personal Data' booklet by asking for a copy in branch or online at santander.co.uk.

Data anonymisation and aggregation

My personal data may be converted into statistical or aggregated data which can't be used to identify me, then used to produce statistical research and reports. This aggregated data may be shared and used in all the ways described above.

Maturing ISA and investment products

If I have a maturing ISA or an investment product I may be required to provide identification to withdraw funds or transfer them to an alternative account.

*Group companies

For more information on the Santander group companies, please see the 'Using My Personal Data' booklet.

Santander is able to provide literature in alternative formats. The formats available are: large print, Braille and audio CD. If you would like to register to receive correspondence in an alternative format please visit santander.co.uk/alternativeformats for more information, ask us in branch or give us a call.