

# Stocks and Shares Junior ISA Transfer Form

For transferring a stocks and shares Junior ISA from another provider to a cash Junior ISA with Santander UK plc.

## 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 Junior ISA with another provider to the cash Junior ISA you have already opened with Santander.

You must already hold a Santander cash Junior ISA to use this form.

If you are transferring this account on behalf of a child aged under 18, or if you are the child aged 16 or 17, and transferring this account for yourself, you will need to complete sections 1, 2, 3, 4 and 6.

**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 Applicant's details

I am the registered contact of the cash Junior ISA detailed below:

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

First name

Middle name(s)

Surname

Permanent residential address

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
Postcode

Santander cash Junior ISA sort code

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Santander cash Junior ISA account number

<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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Telephone number (including area code)

Mobile number

Email address

## 2 Child's details

I apply to transfer a Junior ISA for:

Title (if any)

First name

Middle name(s)

Surname

Permanent residential address

<input type="text"/>
<input type="text"/>
<input type="text"/>
Postcode

Date of birth

<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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National Insurance Number (if they have one)

<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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## 3 Details of the stocks and shares Junior ISA to be transferred

Existing stocks and shares Junior ISA provider

Address of existing stocks and shares Junior ISA provider

<input type="text"/>
<input type="text"/>
<input type="text"/>
Postcode

Existing stocks and shares Junior ISA account number/reference

<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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### Please note:

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

For example:

- Some stocks and shares Junior 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 Junior 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 Junior ISA provider before completing this form.

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

Yes  No

**3 Details of the stocks and shares Junior ISA to be transferred (continued)**

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

All  Part

If you answered 'All' to question 2 this will result in all investments currently held being sold. The sale proceeds, together with any uninvested cash currently held in the stocks and shares Junior ISA will be transferred to your Santander cash Junior ISA in its entirety.

If you answered 'All' to question 2, please go directly to the Declaration section below.

If you answered 'Part' to question 2, please answer questions 3-6.

**Partial Transfers**

(3) Current tax year subscriptions (if applicable)

Do you want to transfer your current tax year stocks and shares Junior 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 Junior ISA representing current tax year subscriptions can only be transferred in whole and not in part.

Yes  No

(4) Previous tax year subscriptions

Please indicate the amount you wish to transfer out of your previous tax years subscriptions

None  All  Part

If you have answered 'Part' here please provide sale instructions by answering question 5.

Please check your selection is permitted by your existing stocks and shares Junior ISA provider prior to submitting the form. You may have to make contact with your existing stocks and shares Junior 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 Junior 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 Junior 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 Junior ISA provider that you wish to sell and transfer the proceeds to your cash Junior 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 Junior ISA you want to transfer.

£            .

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, Cuij 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)

**Residual Income**

- Your existing stocks and shares Junior ISA provider will forward any amounts received after the transfer to the new cash Junior ISA provider.
- If you have any questions regarding these payments please contact your existing stocks and shares Junior ISA provider.

## 4 Declaration

I have read the Data Protection Statement (Section 6).

I agree to the cash Junior ISA Terms and Conditions.

I declare that:

- I am 16 years of age or over
- I am the child/I have parental responsibility for the child
- I am the registered contact for the Junior ISA.

I authorise Santander UK plc:

- to hold the child's subscriptions, Junior ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and cash, and
- to make on behalf of the child any claims to relief from tax in respect of Junior ISA investments.

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 Junior ISA provider as specified overleaf to sell investments and transfer the Junior ISA in cash to Santander UK plc.

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

Where I must give notice to close or transfer part of the existing stocks and shares Junior ISA, or the existing stocks and shares Junior 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 stocks and shares Junior 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.

Applicant's signature

Date

D	D	M	M	Y	Y	Y	Y
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## 5 Transfer Acceptance (for office use only)

We are willing to accept this stocks and shares Junior 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 cash Junior ISA provider: Santander UK plc.

## 6 Data Protection Statement

### Introduction

This Data Protection Statement applies to both the registered contact and the child as the owner of the account.

My personal data is information which is about me. It can be data that directly identifies me or data that can be put together with other data to identify me. You are Santander UK plc, the data controller. This data protection statement tells me 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

When I apply to open an account with you, you'll use my personal data for the reasons set out below and if my account is opened you'll use it to run my account. You'll collect most of this personal data from me when I apply but some personal data may be collected from other sources. These are listed below. 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 allowed to apply for an account or service);
- Financial details (e.g. money I pay into and take out of my accounts, and information about accounts held with other providers such as banks);
- Information about the products and services I've opened or applied for, how I use them and the relevant technology used when I look at or use my accounts (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;
- If it's relevant to the account or service, information about family, lifestyle or social circumstances (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 people named on my application. They must have agreed for me to give you their personal data and I must have shared 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 I have a choice over providing some personal data, including if you ask for my consent to use it. Where you don't give me a choice and it is not optional, I must give you my personal data so you can manage my application (unless I have another account with you and you already hold my details).

### Monitoring of communications

Following the rules set out in the relevant laws, you'll monitor and record my calls, emails, text messages, social media messages and other communications I have 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 what happens on my account where necessary for these reasons and this is in your legitimate interests to do so or you need to in order to meet your legal obligations.

## 6 Data Protection Statement (continued)

### Using my personal data: the legal basis and purposes

You'll use my personal data:

1. As necessary **to perform your contract with me** for my account or service:
  - a) To take steps at my request before 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 where I live if you to contact me about my account and recovering debt.
2. As necessary **for your own legitimate interests** or those of other people and organisations, e.g.:
  - a) For good governance, accounting, and managing and checking your business processes;
  - b) To search at credit reference agencies if I'm over 18 and apply for credit;
  - c) To monitor emails, calls, other communications, and what happens on my account;
  - d) For market research (to find out what I think of you), analysis and developing statistics; and
  - e) To send me marketing communications and for marketing to me when I am in the branch, including automated decision making relating to this.
3. As necessary **to comply with a legal obligation**, e.g.:
  - a) When I use my rights under data protection law and make requests;
  - b) To comply with legal and regulatory requirements and related disclosures;
  - c) To determine and defend legal rights;
  - d) For activities relating to the prevention, detection and investigation of crime;
  - e) To check my identity, make credit, fraud prevention and anti-money laundering checks; and
  - f) To monitor emails, calls, other communications, and what is happening on my account.
4. Based on **my consent**, e.g.:
  - a) When I ask 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 remove my consent. The result might be that you can't do certain things for me.

### Sharing of my personal data

If the relevant data protection law allows, you may share my personal data with:

- o The Santander group of companies\* and associated companies in which you have shareholdings;
- o Companies acting on your behalf and other people who help you provide your products and services;
- o Companies and other persons providing services to you;
- o Your legal and other professional advisors, including your auditors;
- o Fraud prevention agencies, credit reference agencies, and debt collection agencies when you open my account and at other times to manage my account or service;
- o Other organisations who use shared databases for income verification and affordability checks and to manage/collect money owed;

- o 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);
- o Courts, to comply with legal requirements, and for the administration of justice;
- o In an emergency or to otherwise protect my vital interests;
- o To protect the security or integrity of your business operations;
- o To other parties linked with my account e.g. guarantors and other people named on the application including joint account holders who will see my transactions;
- o When you restructure or sell your business or its assets or have a merger or re-organisation;
- o Market research organisations who help to improve your products or services;
- o 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 deal with transactions, sort out disputes and for statistical purposes, including sending my personal data overseas; and
- o Anyone else where you have my consent or where it is required by law.
- o As only one of each type of Junior ISA per child may be held, I understand that if a Junior ISA of the same type already exists for the child and another application is made, it will not be accepted and the applicant will be informed that an account of that type already exists. If deposits are made into the account by other people which take the account balance to the Junior ISA limit, the deposit may be refused and the reason for such refusal disclosed.

### International transfers

My personal data may be transferred outside the UK and the European Economic Area. While some countries have relevant laws to protect personal data, in other countries steps will need to be taken to make sure the right protection is given 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 information can be found in the 'Using My Personal Data' booklet.

### Identity 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 check my identity. If fraud is identified, I could be refused certain services, finance or employment in future. You may also search and use your internal records for these purposes. Further information 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.

## 6 Data Protection Statement (continued)

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

### Using automated decision making to make decisions about me

As you may automatically process my personal information, without human intervention, to evaluate certain personal aspects about me (known as profiling).

In particular, you may analyse or predict (among other things) my economic situation, personal preferences, interests or behaviour. This could mean that automated decisions are made about me using my personal information. For example, you might analyse certain customer demographics, account holdings and account behaviours (such as Direct Debits I have set up on my accounts including those which identify accounts and products such as credit cards and store cards which I hold with other providers/elsewhere) and look at details of transactions relevant to your accounts. You may also analyse events such as the maturity dates of my accounts and opening anniversaries.

In some instances you'll use automated processing and decision making, where relevant, to decide which of your other products or services might be suitable for me, as well as to produce a personalised price for insurance products, to provide an indication of the price prior to an application being made (please note, publicly available information about me and information about me from third party data sources such as credit reference agencies, will also be used to provide me with an indication of the price). The personalised price would be presented to me in marketing communications and during contacts with Santander that might be suitable. You'll look at the types of accounts that I already have with you, as well as my age, where this is relevant to the product you think I might be interested in. You'll also conduct behavioural scoring, including by looking at the accounts and products I already have with you and how they are being used, such as account turnover, arrears and other indications of financial difficulties. Where searches are carried out against publicly available data sources and credit reference agencies, these searches may appear on my credit report, but they will not affect my ability to get credit.

I may have a right to certain information about how you make these decisions. I may also have a right to request human intervention and to challenge the decision.

For some insurance products you may use automated decision making to assist the insurer in determining my final insurance premium. The insurer will use an automated underwriting engine to process my personal information and to better assess insurance risk which will generally provide a more accurate price that is relevant to my individual circumstances and needs. The automated underwriting engine will use information including personal information that I provide as well as other information about me held by you, the insurer and other parties. Where the insurer is carrying out any automated decision making it will do so on the basis that is necessary in order for the insurer to enter into the insurance contract with me. I have the right to contest that decision, express my point of view and ask for a human review. Where you carry out any automated decision making for my insurance product, you will ask for my consent during the application process to allow you to do so. I may withdraw my consent at any time. Further details can be found in the 'Using My Personal Data' booklet.

### Once the child is 16

I understand that the child can make an application to become the registered contact and start to manage this account from their 16th

birthday, without the permission of the existing registered contact on the account. You will give the registered contact more information about this shortly before the account holder is 16. If the child does not make an application to become the registered contact on the account, the existing registered contact will remain on the Junior ISA and the account will continue to operate as normal until the child's 18th birthday.

### Once the child is 18

I understand that on the child's 18th birthday the Junior ISA will mature into an adult ISA, in the child's name only. The child will be required to provide identification in order to withdraw funds, pay in funds or transfer them to an alternative account. The existing registered contact on the account (if one is still in place) will no longer be named on the account and all account management will be passed to the child. You will provide more information about this shortly to the registered contact and the child before the child becomes 18.

### 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:

- o **Retention in case of queries.** You'll keep my personal data as long as necessary to deal with my queries (e.g. if my application is unsuccessful);
- o **Retention in case of claims.** You'll keep my personal data for as long as I might legally bring claims against you; and
- o **Retention in accordance with legal and regulatory requirements.** You'll keep 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 relevant data protection law

My rights are as follows (noting that these rights don't apply in all circumstances):

- o The **right to be informed** about your processing of my personal data;
- o The right to have my personal data **corrected if it's inaccurate** and to have **incomplete personal data completed**;
- o The right to **object** to processing of my personal data;
- o The right to **restrict processing** of my personal data;
- o The right to **have my personal data erased** (the "right to be forgotten");
- o The right to **request access** to my personal data and information about how you process it;
- o The right to **move, copy or transfer my personal data** ("data portability"); and
- o 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](http://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](http://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. You may share and sell such anonymised data including in an aggregated format, within and outside of the Santander group of companies, for statistical analysis, research and other business purposes. For example, sharing information about general spending trends in the UK to assist in research. The law says this is not considered to be personal information after it has been anonymised and/or aggregated.

### \*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](http://santander.co.uk/alternativeformats) for more information, ask us in branch or give us a call.**