

IMPORTANT INFORMATION

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# Portfolio Bond Application Form

# Application Form

**When completing this application form please note the following:**

1. The application form includes a number of questions that are designed to protect you and Legal & General from financial crime.
2. All terms, benefits and options referred to are described in our product literature.
3. Please use BLOCK CAPITALS throughout.
4. If you make a mistake, please correct the error by crossing out (do not use correction fluid) and initial the change.
5. Please ensure you sign and date the Declaration in Part 7.
6. You should ensure you have read and understood all literature relating to the Bond, in particular the Key Features and Funds Key Features, before you proceed.

**PART 1**

If the policies are to be issued to the trustees of an existing trust, please complete sections A and C

If the policies are to be put into a new trust, please complete sections B and C

Applicants must be at least aged 18 or over  
Applicants must sign and date the Declaration in Part 7

**Applicant details**

The Bond will be issued as a series of life assurance policies.

Are the policies to form part of an existing or new trust arrangement? No  Go to section C  
Yes  Go to section A or B

**A. The policies are to be issued to the trustees of an existing trust**

Tick here

Name of trust

All the trustees' details must be entered in section C below.

A certified copy of the trust must be provided.

OR

**B. The policies are to be issued under a new trust**

Tick here

Complete full applicant details in section C below and complete the appropriate trust form.

The person(s) making the investment into the Bond is/are the applicant(s); the appointment of trustees takes place after completion of the processing of the Bond. Therefore, the trustees do not complete section C, unless they are also an applicant.

All applicants must complete section C

**C. Applicant(s)**

	First or sole applicant	Second applicant
Mr/Mrs/Miss/ Ms/other		
Surname		
Forename(s) (in full)		
Date of birth		
Main residential address (*See note below)		
	Postcode	

\* Please note that if at this address less than three months, details of previous address should be provided in Notes/Other instructions section.

## Applicant details continued

If more than four applicants, please provide appropriate details in the Notes/Other instructions section

	Third applicant	Fourth applicant
Mr/Mrs/Miss/Ms/other		
Surname		
Forename(s) (in full)		
Date of birth		
Main residential address (*See note below)		
	Postcode	

\* Please note that if at this address less than three months, details of previous address should be provided in Notes/Other instructions section.

To protect you and Legal & General from financial crime, Legal & General may be required to verify the identity of new and sometimes existing customers. This may be achieved by using reference agencies to search sources of information relating to you (an Identity Search). This will not affect your credit rating. If this fails, Legal & General may need to approach you to obtain documentary evidence of identity.

### D. Contact details

This should be an applicant named in section C. If not, state the reason why in the space provided

	Phone number(s)
Name	Day
Address	Evening
	Other
Postcode	
Reason (if not an applicant named in section C)	

**PART 2**

At least one life assured must be aged 89 or less

The life (or lives) assured does/do not need to sign the Declaration in Part 7, unless also an applicant named in Part 1

**Life assured details**

The policy benefits are payable on encashment by the owner(s) stated in Part 1, or on the death of the person, or persons, named in this section (the 'life assured'). If more than one person is named as a life assured, the benefits are payable on the death of the last to die. The life assured is to be:

Complete ONE section only.

**A. The applicant(s) named in Part 1, section C**

Tick here

OR

**B. Other. Please give full details. Up to six lives are allowed**

	First or sole life	Second life
Mr/Mrs/Miss/ Ms/other		
Surname		
Forename(s) (in full)		
Date of birth		
	Third life	Fourth life
Mr/Mrs/Miss/ Ms/other		
Surname		
Forename(s) (in full)		
Date of birth		
	Fifth life	Sixth life
Mr/Mrs/Miss/ Ms/other		
Surname		
Forename(s) (in full)		
Date of birth		

**PART 3****Investment details****A. Investment**

Minimum £5,000

Amount of investment £ 

Please make cheque payable to: Legal &amp; General Assurance Society Limited

Is this an increment into an existing Portfolio Bond with Legal & General? Yes  No 

Additional investments must be whole £s only (minimum £5,000)

If Yes, please state existing contract number(s) 

Please provide details of the Bank/Building Society account used to make payment: (If funds are being provided in the form of a Bank or Building Society cheque/bankers draft, please provide details of the personal account/other investment from which the money was drawn.)

**Full account name****Name and full postal address (including country) of Bank/Building Society branch/other**

Bank/Building Society account number/roll number/other

Branch sort code

 -  - **B. Investment source**

If more than four applicants, please provide appropriate details in the Notes/Other instructions section

What is the source of your investment?

Tick all boxes which may apply.

	First or sole applicant	Second applicant	Third applicant	Fourth applicant
Accumulated savings from salary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Retirement fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inheritance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sale of property	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sale or maturity of previous investments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Divorce settlement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

\* If Other, please specify details in the Notes/Other instructions section – where funded by a third party, please explain circumstances.

## Investment details continued

The following information is not required if Part 1 section A is ticked.

Annual Salary/Income

First or sole applicant				Second applicant			
Occupation				Occupation			
Annual Salary/Income Band				Annual Salary/Income Band			
£0 - £14,999	<input type="checkbox"/>	£15,000 - £29,999	<input type="checkbox"/>	£0 - £14,999	<input type="checkbox"/>	£15,000 - £29,999	<input type="checkbox"/>
£30,000 - £59,999	<input type="checkbox"/>	£60,000 - £99,999	<input type="checkbox"/>	£30,000 - £59,999	<input type="checkbox"/>	£60,000 - £99,999	<input type="checkbox"/>
£100,000 - £149,999	<input type="checkbox"/>	£150,000 +	<input type="checkbox"/>	£100,000 - £149,999	<input type="checkbox"/>	£150,000 +	<input type="checkbox"/>
Third applicant				Fourth applicant			
Occupation				Occupation			
Annual Salary/Income Band				Annual Salary/Income Band			
£0 - £14,999	<input type="checkbox"/>	£15,000 - £29,999	<input type="checkbox"/>	£0 - £14,999	<input type="checkbox"/>	£15,000 - £29,999	<input type="checkbox"/>
£30,000 - £59,999	<input type="checkbox"/>	£60,000 - £99,999	<input type="checkbox"/>	£30,000 - £59,999	<input type="checkbox"/>	£60,000 - £99,999	<input type="checkbox"/>
£100,000 - £149,999	<input type="checkbox"/>	£150,000 +	<input type="checkbox"/>	£100,000 - £149,999	<input type="checkbox"/>	£150,000 +	<input type="checkbox"/>

### PART 4

Please ensure you have read and understood the details of your chosen fund(s) in the Funds Key Features

Total minimum investment £5,000 but £1,000 per fund

Maximum of ten funds (eight if the selection includes the Protected UK Growth Fund)

Please ensure you have read and understood the Protected UK Growth Fund Guide before investing in this fund

## Fund selection

Which fund(s) do you wish to invest in?

Please complete the percentage to be invested in each fund (maximum two decimal places). Please ensure that the total adds up to 100% and that a minimum of £1,000 is invested in each fund selected.

Fund - Name in full	% of your investment
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
<b>Total</b>	<b>100 %</b>

**PART 5**

**Regular withdrawals options**

**Question 1.** Do you want to take regular withdrawals from your Bond? No  Go to Part 7  
Yes  Go to Question 2

**Question 2.** Have you chosen to invest in any fund(s) other than the Legal & General Distribution Funds, Property Fund, Managed Bond Fund and/or High Income Fund? No  Go to Question 3  
Yes  Go to section B below

**Question 3.** Would you like to take natural income? No  Go to section B below  
Yes  Go to section A below

If natural income is required, the fund(s) selected in Part 4 must be one, or a combination of the Legal & General Distribution Funds, Property Fund, Managed Bond Fund and/or High Income Fund

**A. Natural income**

Natural income is available from one, or a combination of the Legal & General Distribution Funds, Legal & General Property Fund, Legal & General Managed Bond Fund and/or Legal & General High Income Fund.

*If more than one fund is selected, natural income must be taken from all the funds. It is not possible to take natural income from one, or more, fund(s) and not the other(s).*

I/We would like payments to be made: Twice yearly  in June and December  
Once a month  on or shortly before the 14th

The date of the first payment is determined by the completion date of your Bond. The distribution dates are 30 May and 30 November or the next working day (if not a working day). Units must be purchased five or more working days prior to the distribution date in order to qualify for the next distribution. Payment will be made on the 14th of the following month.  
OR

Only one type of regular withdrawal can apply at any one time

Please note that any withdrawals from the Protected UK Growth Fund will affect your protection. See the Fund Guide for details

Minimum payments £20 per month £50 other frequencies

If 'Total each year' is selected it may not be possible to provide the exact amount requested if payments are chosen other than once a year

**B. Regular withdrawals from any funds**

I/We would like to withdraw (Complete ONE box only):

% Each year of the amount invested  Maximum of 7.5% each year of the amount invested or of the value of units

OR

£ Total each year

OR

% Each year of the value of units

I/We would like payments to be made:

Once a month  Once every three months  Once every six months  Once a year

Starting on

(This date must be at least one payment frequency after the completion date of your Bond.)

**PART 6**

**Payment details**

Please complete if you have requested payment of any regular withdrawals in Part 5. Payments will be made direct to a Bank or Building Society account. Please ensure that the account is able to receive direct credit payments.

Name and full postal address of your Bank or Building Society branch

Name of Bank/Building Society

Address

Postcode

Name(s) of account holder(s)

Bank or Building Society account number

Building Society roll number (if applicable)

Branch sort code

-  -

## Declaration

**This section must be completed. It must be read, signed and dated by all the applicants in Part 1.**

I/We declare that the information given in this application is to the best of my/our knowledge and belief true, and complete.

I/We understand that my/our policies will be governed by the Policy Provisions of which a copy is available on request. A copy of the completed application form(s) is also available on request.

I/We request that the policies are issued in my/our name(s) subject to the Policy Provisions, and understand that this declaration shall be the basis of the proposed contract. I/We further understand that all benefits payable under the policies will be payable to the person(s) named.

**Data Protection**

**Use of personal information:** Legal & General takes customer privacy very seriously.

Legal & General uses the personal information collected via this form and any other information that I/we provide to Legal & General ("my/our information") for the purposes of:

1. Providing me/us with Legal & General products and services and dealing with my/our enquiries and requests;
2. Underwriting and administering my/our policies including processing claims;
3. Carrying out market research, statistical analysis and customer profiling; and
4. Sending me/us marketing information (by post, telephone, email and SMS) about products and services of companies in the Legal & General Group and of third parties whose products and services Legal & General offer to its customers.

By signing below, I/we agree to receive the information as described in 4 above, unless I/we indicate otherwise by ticking this box

Given the global nature of Legal & General's business, it may be necessary to transfer my/our information to countries outside the European Economic Area in order to provide Legal & General's service to me/us.

**Disclosures:** Legal & General will disclose my/our information to other companies within the Legal & General group of companies, regulatory bodies, law enforcement agencies, future owners of Legal & General's business, suppliers engaged by Legal & General to process data on its behalf and when necessary, to a reinsurer.

If I/we make a claim, Legal & General will share my/our information (where necessary) with other insurance companies to prevent fraudulent claims.

Legal & General will check my/our details with fraud prevention agencies. If false or inaccurate information is provided and fraud is identified, details will be passed to fraud prevention agencies. Law enforcement agencies may access and use this information.

Legal & General and other organisations may also access and use this information to prevent fraud and money laundering, for example, when:

- Checking details on applications for credit and credit related or other facilities;
- Managing credit and credit related accounts or facilities;
- Recovering debt;
- Checking details on proposals and claims for all types of insurance;
- Checking details of job applicants and employees;
- Legal & General and other organisations may access and use from other countries the information recorded by fraud prevention agencies.

I/We can contact Legal & General at: Group Fraud & Forensic Accounting, Legal & General House, Kingswood, Tadworth, Surrey KT20 6EU if I/we want to receive details of the relevant fraud prevention agencies.

I/We have a legal right to see these details.

If I/we have been dealing with a financial adviser, Legal & General will give him/her information about the product and, where appropriate, provide him/her with other information about my/our dealings with Legal & General to enable him/her to give me/us informed advice.

Where I/we have been introduced to Legal & General by a Bank or Building Society, Legal & General will share my/our information with them to enable them to:

- (a) carry out market research, statistical analysis and customer profiling; and
- (b) send me/us marketing information about their products and services and products and services of companies in the Legal & General Group and of third parties whose products and services Legal & General offers to its customers.

By signing below, I/we agree to receive the information as described in (b) above by post or telephone, unless I/we indicate otherwise by writing to Legal & General at Legal & General Assurance Society, PO Box 274, Bangor, BT19 7WZ.

**Access:** I/We have the right to ask for a copy of my/our information in return for payment of a small fee.

To obtain a copy of my/our information, I/we should write to Legal & General at UKSO Business Standards, Legal & General Assurance Society, Brunel House, Cardiff, CF24 0EB.

**I/We agree to the use of my/our information as set out above.**

**I/We confirm that I/we have read and understood all the items that make up the Key Features of the Portfolio Bond (and if investing in the Protected UK Growth Fund, the Fund Guide).**

First or sole applicant		Second applicant	
Signature	Date	Signature	Date
Third applicant		Fourth applicant	
Signature	Date	Signature	Date

**The application is not valid without all signature(s) and date(s).**

If more than four applicants, please provide a signature and date alongside the details captured in the Notes/Other instructions section

**PART 8**

Sections A and B must be completed

Please note that Legal & General will only accept instructions from trustees who have had their identity verified

**For advisers use only****A. Confirmation of verification of identity**

(This confirmation should **not** be completed by Legal & General appointed representatives or employees.)

Who has been verified?

Full name: Applicant/Trustee	Full name: Applicant/Trustee
Full name: Applicant/Trustee	Full name: Applicant/Trustee
Full name: Applicant/Trustee	Full name: Applicant/Trustee

For the verification of attorney(s), third party donor(s), corporate and other non-personal entities, please use the Confirmation of Verification of Identity certificates which are available on our Legal & General Adviser Centre.

I/We confirm that:

- a) the name, address and date of birth information contained in this application was obtained by me/us in relation to the customer(s);
- b) the evidence I/we have obtained to verify the identity of the customer(s): (Tick one box only)
- meets the standard evidence set out within the guidance for the UK Financial sector issued by the JMLSG; or
- exceeds the standard evidence (written details of the further verification evidence taken are attached to this application).

**Explanatory notes**

- Each party that you have verified the identity of must be named above (for example each trustee, where appropriate). Where a third party is involved, for example a payer of contributions who is different from the customer, the identity of that person must also be verified, and a confirmation provided.
- This confirmation cannot be used to verify the identity of any customer that falls into one of the following categories:
  - Those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
  - Those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering regulations; or
  - Those whose identity has been verified using the source of funds as evidence.
- This confirmation must carry an original signature, or an electronic equivalent, as part of the application.

Signature:

Name:

Position:

Date:

Full name of regulated firm (or sole trader):

Financial Services Authority (FSA) Reference number:



