



Application for approval as an ISA manager

Further information is available from the HM Revenue & Customs website at www.hmrc.gov.uk/isa/index.htm.

Please return this application form and any supporting documentation to

HM Revenue & Customs
Specialist Personal Tax; Savings, Audit & Share Schemes
Third Floor
St John's House
Merton Road
Liverpool
L75 1BB

Please complete sections 1 – 4 below. You will normally receive a response within 14 calendar days.

Section 1 – ISA manager details

Full registered name or legal title
Full address
..... Postcode
Trading name FSA approval no.

Section 2 – liaison officer details

Name
Telephone number Email address
Name
Telephone number Email address

Section 3 – ISAs and/or Junior ISAs to be offered

We apply for approval to manage the following individual savings accounts

Cash ISAs Cash Junior ISAs
Stocks & shares ISAs Stocks & shares Junior ISAs

If I am applying to manage Junior ISA accounts, I undertake to:

- (a) publicise (and update where appropriate) statements of the minimum amount that may be subscribed to a Junior ISA account on a single occasion, and the permitted means of payment of subscriptions; and
- (b) inform persons proposing to make a subscription to a Junior ISA account (other than the named child) that the subscription is a gift to the child

Section 4 – certificate of authority

I certify that I am approved to manage these components because I am

- an **authorised person** within the meaning of section 31(1)(a) or (c) of, or Schedule 5 to, the Financial Services and Markets Act 2000 who has permission to carry on one or more of the activities specified in Articles 14, 21, 25, 37, 40, 45, 51 and 53 and, insofar as it applies to any of those activities, Article 64, of the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001, and I **attach** evidence that shows we have permission
- a **European institution** that carries one or more of those activities
- a **person falling within** section 840A(1)(b) ICTA 1988 (a bank)
- a **building society** cash ISAs or JISAs only
- a **credit union**, that is an authorised person within the meaning of section 31(1)(a) of the Financial Services and Markets Act 2000, who has permission to carry on one or more of the activities specified in Article 5 of the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001 cash ISAs or JISAs only
- an **incorporated friendly society**
- a **registered friendly society**
- an **insurance company** within the meaning given by section 431(2) ICTA 1988, and I **attach** either copy of our notice of authorisation from the Treasury Insurance Directorate or the Friendly Societies Commission (UK insurers) or a copy of our authorisation under Article 6 of the First Long Term Insurance Directive (foreign insurers)
- an **assurance undertaking** that is not an insurance company within the meaning given by section 431(2) ICTA 1988, an incorporated friendly society, or a registered friendly society. ['Assurance undertaking' means an assurance undertaking within the meaning of Article 2 of the Council Directive of 5th November 2002 concerning life assurance (No.2002/83)]

Please indicate if you are

- a European institution or relevant authorised person and who does not have a branch or business establishment in the UK
- a European institution or a relevant authorised person and who does have a branch or business establishment in the UK, but does not intend to carry out all his functions as a manager at that branch or business establishment
- an assurance undertaking within the meaning above

Further information on definitions is available at paragraph 2.4 of the *Guidance Notes for ISA Managers*.

Full name of person signing Position within company

Signature Date