

#### Using the editable fields?

To ensure your information is saved correctly, we recommend you save the form to your desktop before you start completing the required fields.

# Application for a Collective Investment Account (CIA)

– *Charity applicant*

## For completion with a financial adviser

### *With this form you can:*

- invest in a CIA in the name of a charity either by
  - opening a new CIA, or
  - topping up an existing CIAvia a financial adviser.

**We regularly update our forms;** your financial adviser can confirm that this August 2023 version is the latest by checking our website [quilter.com](https://www.quilter.com)

### *Completing this form*

- Complete this form, as applicable, using BLOCK CAPITALS and blue or black ink. For dates, please use the format day/month/year.
- Missing or unclear information can result in delays. We are unable to correct errors or omissions retrospectively.

### *Additional documents we need*

- **Signatory list** - We need signatory details to ensure any future instructions are not delayed whilst security checks are made.
- **Tax Declaration and CoVI form** (at the end of this application) - for new investments, this form must also be completed and returned to us, otherwise the investment will be delayed.

### *Send your completed form as follows:*

- **By post** – to Quilter, SUNDERLAND, SR43 4JP.

### *Timescales*

- Provided we have received all the information we need, we will deal with your application by the end of the working day following receipt. We will then write to confirm details of your investment, including the assets you have chosen.

## **Important documents for you to read before completing your application**

Your financial adviser will have provided you with the following:

- **CIA Key Features Document**
- **CIA Terms and Conditions**
- **A projection/illustration**, which includes a Costs and Charges Statement.
- **Information about the assets chosen for your investment, including:**
  - **Key Investor Information Documents (KIIDs) or Key Information Documents (KIDs)**
  - **Details of any rebates applicable**
- **Privacy notice** concerning use of your personal information.

**In section 10 of this application, the declaration you sign will include your confirmation that you have read these documents.**



## 1. Financial adviser's details and declaration ▶ To be completed by your financial adviser

- 1.1 Network ▶ If applicable  Company name   
Assigned adviser/Account to receive remuneration
- 1.2 Are you appropriately authorised to conduct this business? Yes - go to 1.3 No - you will be unable to submit this application
- 1.3 Did you give financial advice to the client in respect of this application? Yes No

### Declaration

- 1.4 **Adviser Fees** – I understand that adviser fees will be paid subject to the limits outlined in Quilter's Remuneration Guide.
- 1.5 **Tax information** – based on the knowledge I have gained of the relevant parties, I have no reason to believe that the tax residency self-certification requires any follow-up action from me.

Financial adviser's signature	<input type="text"/>	Date	<input type="text"/>
Print name	<input type="text"/>	Position	<input type="text"/>
Email address	<input type="text"/>	Telephone	<input type="text"/>

### Note Tax Declaration and CoVI

- If this investment is for a new account, you must include the Tax Declaration and CoVI, available at the end of the application, in respect of the applicant and associated parties. If the form is not returned with the application, the investment could be delayed.

#### Managed Portfolio Service (MPS) or Discretionary Investment Manager (DIM) portfolios

- If the asset selection in section 5 includes any MPS or DIM portfolios, you must also sign the declaration in section 12.

#### Additional needs

- If any of the parties associated with the investment (eg trustees, officers) have additional needs arising from aspects of their life such as their capabilities, health issues, life events, or their resilience, please capture the details on our **Additional Needs form**, available from our website. For more information about additional needs click [here](#) or go to 'help and support' on our website, [quilter.com](#).

## 2. Applicant details

### 2.1 Type of investment

New account	Top up this account:	Customer Reference	Account
		A C <input type="text"/>	<input type="text"/>

### 2.2 Applicant details

Full name of charity	<input type="text"/>		
Registered charity number	<input type="text"/>		
Telephone number	<input type="text"/>	Email	<input type="text"/>
Registered address (UK, Isle of Man, Guernsey or Jersey)	<input type="text"/>		
	Postcode <input type="text"/>		
▶ We cannot accept a registered address that is 'care of', which contains a PO Box number, or which is the financial adviser's address.			
Use this address for correspondence?	Yes	No - enter the correspondence address overleaf	
Correspondence residential address	<input type="text"/>		
	Postcode <input type="text"/>		

### Tax reporting

Country of registration  Tax reporting country

LEI code  0 0

►The LEI code is mandatory for investments made into Exchange Traded Instruments (ETIs).

GIIN

### Associated parties

Please provide details of the charity's associated parties (eg trustees, officers) in the Tax Declaration and CoVI form at the end of this application.

### 3. Decision maker details

The 'decision maker' is the one making decisions concerning transactions on this investment. In most cases it will be the customer (ie the applicant) but sometimes other people could be authorised to make decisions.

**Note** – Where the investments include a discretionary portfolio, the discretionary manager will automatically be reported as the decision maker for transactions involving those assets. However, if other assets are held, and someone other than the customer is the decision maker, the other party's details should be entered in this section.

a) Who is the decision maker on this account?  
Customer (ie the applicant) – **go to section 4** Others – **go to b)**

b) Is the decision maker  
An individual? – **go to c)** An entity (eg a trust or company)? – **go to d)**

c) Please provide the individual's details here:

First name

Surname

Date of birth

Country of nationality UK National Insurance Number

Other (please specify)  ►Enter the passport number and expiry date below

Passport number and expiry date

**Now go to section 4**

d) Please provide the entity's LEI code here:

LEI code  0 0

**Now go to section 4**



## 4. Contribution details

### Note Single payments

- **Bank transfer:** send to: Quilter Investment Platform Ltd Collections Client Account. NatWest. Sort code: 56-00-68. Account number: 42087058. Reference - **your account number with us, starting with AC.**
- **Cheques:** make your cheque payable to Quilter Investment Platform Ltd Collections Client Account *If known, please write your account number with us, starting with AC, on the back of the cheque*
- If you are sending **more than one payment** for your application, we will invest your contribution only when we have received all payments.
- If you are sending payment for **more than one application**, please send a separate payment for each one.

### Phased investment

- You can place single investments into cash within your CIA, then phase the investment into your choice of assets in equal instalments on the first working day of each month for 3, 6 or 12 months.
- To select phased investment, complete the required start date and frequency below, then list your choice of assets in section 5.
- If you do not specify a start date, we will begin phasing the month following your investment.

### Regular investment

- The collection date can be any day from 1-28; the first collection date cannot be more than 13 months in the future.
- If we receive your instruction less than 10 working days before the first collection date requested, we cannot guarantee that it will take effect for that month.
- If you leave the date blank, we will collect Direct Debits on the next available collection date.

### Minimum new investment

- £2,500 (single investments and transfers); £99 (monthly Direct Debits); £600 (yearly Direct Debits). There is no minimum amount for topping up an existing account.

#### 4.1 Single investment – paid by the applicant

Investment amount	<input type="text" value="£"/>					
Payment method	<input type="text" value="Cheque number"/>	<input type="text" value="Bank transfer"/>				
Phased investment (if required)	Start date	<input type="text" value="0"/> <input type="text" value="1"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Number of months	<input type="text" value="3"/>	<input type="text" value="6"/>	<input type="text" value="12"/>
Adviser's initial fee	<input type="text" value="£"/>	OR	<input type="text"/>	<input style="margin-left: 20px;" type="text" value="%"/>		

#### 4.2 Single investment – paid by a third party

Investment amount	<input type="text" value="£"/>					
Payment method	<input type="text" value="Cheque number"/>	<input type="text" value="Bank transfer"/>				
Phased investment (if required)	Start date	<input type="text" value="0"/> <input type="text" value="1"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Number of months	<input type="text" value="3"/>	<input type="text" value="6"/>	<input type="text" value="12"/>
Adviser's initial fee	<input type="text" value="£"/>	OR	<input type="text"/>	<input style="margin-left: 20px;" type="text" value="%"/>		

– Please complete the payer's details in section 4.7.

### 4.3 Transfer

If you are transferring an investment to us, please state the name(s) of the current provider(s) below.

Transferring provider(s)

Phased investment (if required) Start date         Number of months  3  6  12

Adviser's initial fee £  OR  % *► This is the total initial fee for cash transfers*

**Note** – Any initial fee entered for cash transfers will only be applied to transfers requested as cash; it will not be applied to any cash proceeds transferred to us where an asset could not be re-registered. The initial fee will be paid from the largest transfer based on what you input. It is not based on the amounts we actually receive. If we do not receive the transfer, the fee will not be paid.

- Any fee agreed with your financial adviser in respect of a transfer by re-registration must be requested as an ad hoc fee separately online by your adviser, once the account is open.

**– Please complete a Transfer Authority at the end of the application, one for each provider/asset manager.**

### 4.4 Regular investment – paid by the applicant

Direct Debit amount £  Frequency  Monthly  Annually

First collection date         any day from 01 – 28

**– Please complete the Direct Debit Instruction in section 11, and complete section 4.6 if an initial fee has been agreed for your adviser.**

### 4.5 Regular investment – paid by a third party

Direct Debit amount £  Frequency  Monthly  Annually

First collection date         any day from 01 – 28

**– Please complete the payer's details in section 4.7, and complete section 4.6 if an initial fee has been agreed for your adviser; the payer will need to sign the Direct Debit Instruction in section 11.**

### 4.6 Adviser's initial regular fee

**This section relates to any regular investments requested in sections 4.4 and 4.5.**

Fee payment £  *► This is the amount that will be deducted each time; it is not the total fee amount*

Frequency  Monthly  Yearly *► This must be the same as the Direct Debit frequency*

Number of fee payments  *► Maximum 24 if monthly, 2 if yearly*

### 4.7 Third party payer's details

Payer type  Individual  Corporate  Trust  Charity  Club/Association

Title  Mr  Mrs  Miss  Ms  Other (please specify)

First name(s)

Surname/ Entity name

Permanent UK residential/ registered office address   Postcode

Date of birth         Entity registration number (if applicable)

*► The payer must be at least 18 years of age*

Which payment is being made by this third party?  Single investment  Regular investment



## 5. Your asset selection (not applicable for re-registration)

### 5.1 We will automatically default to the 'unbundled' versions of any assets you choose in section 5.2.

- 'Unbundled' assets typically have lower Annual Management Charges (AMC) with reduced rebates.
- 'Bundled' assets have full AMC with rebates.  
Tick here if you want the 'bundled' version of your asset choice, if available.

### 5.2 State your asset choice in the table below

**Note** – If you selected **phased investment** in section 4, you cannot phase back into cash, so please do not select cash as one of your asset choices below.

- **Managed Portfolio Service (MPS) and Discretionary Investment Management (DIM) Portfolios** - if you wish to invest using MPS or DIM portfolios, enter the portfolio name(s) in the table below. Your financial adviser must also sign the declaration in section 12.
- **If an asset choice you give is missing, illegible or otherwise invalid**, we will place the investment into cash within your CIA, after which you or your adviser can switch into a revised asset choice.
- **If your asset choice includes any Exchange Traded Instruments (ETIs):**
  - they can only be purchased in whole units; any residual value will therefore be held as cash within your account
  - each ETI transaction will incur a Dealing Charge. Stamp duty and other costs may also apply.
- **If Income (Inc) or Accumulation (Acc) is not stated**, accumulation units (where available) will automatically be applied. Where accumulation units have been selected and they are not available, income units will be automatically applied or vice versa.
- **If you need more space for your asset choice**, please use a copy of this page and attach it to this application form.
- **Regular investments** – If more than one Direct Debit is being paid into the account, any regular investment asset choice given as part of this application will be applied to all of them.

Asset or Portfolio Name	Inc/Acc	Single/Cash transfer %	Regular %
<b>Cash</b>	<b>n/a</b>		
	<b>Total</b>	<b>100%</b>	<b>100%</b>

### Discretionary Investment Manager (DIM) – Portfolio Fee

If the asset choice includes a DIM portfolio, your adviser can record the related fee details here.

Portfolio Fee Amount:  % of the portfolio value each year

Model portfolio(s) to which the fee relates

Frequency                      Monthly              Quarterly              Half-yearly              Yearly



## 6. Distribution options

State here how you wish us to handle any distributions of income we receive for assets in your CIA (tick one):

► If you leave this section blank, 6.1 will apply.

### Note Interest earned on any cash held within your CIA

- If you select 6.1 or 6.2, any interest earned on cash in your CIA, will be added to the cash balance.
- However, if you select 6.3, the interest will be paid out with your income.

### Exchange Traded Instruments (ETIs)

- If you select 6.1, any reinvestment into an ETI will incur a Dealing Charge; stamp duty and other costs may also apply. The number of units purchased will be rounded down to the nearest whole number (any excess will be held as cash in your CIA).

6.1 Reinvest into the CIA

6.2 Leave as cash in the CIA

6.3 Pay the income into the bank account detailed in section 8 as follows: ► If left blank, a) will apply

a) Immediately - Please pay income to my bank account as and when received from the asset managers.

b) Regularly - Please pay income to my bank account as follows:

Monthly

Quarterly

Half-yearly

Yearly

## 7. Regular withdrawals ► if required

Note - Any instructions you give in this section will apply to your entire account, and will override any existing instructions.

- There may be tax implications if you make withdrawals from your account; please refer to your financial adviser.
- Payments will be made into the bank account you nominate in section 8.
- We will meet regular withdrawal payments in line with your instructions in section 7.3. If we are unable to do so for any reason, we will meet the payments from cash held within your CIA. However, if there is then insufficient money in cash, we will sell units proportionally from all assets in your CIA.
- If the assets to be sold include Exchange Traded Instruments (ETIs), a Dealing Charge will be incurred for each ETI sold.

### 7.1 Choose one of the following options

#### a) Regular Withdrawals of a specific amount of money

State how much you want to receive **EACH PAYMENT** £  (minimum £25)

Increase annually by: Nil - no increase required the Retail Prices Index % increase 5%

► If left blank we will assume 'nil'

OR

#### b) Regular Withdrawals of a percentage of your account value

State how much you want to receive **EACH YEAR**  %\* per year

\*This is an annual percentage; when the payment is due, we will calculate the percentage based on the value of your account at that time. We will then divide that amount by the number of payments you specify in section 7.2, to calculate the amount to be paid at that time, which must equate to at least £25.

### 7.2 Frequency

Monthly

Yearly

Specific months - tick the required months below:

Jan Feb Mar  
Apr May Jun  
Jul Aug Sep  
Oct Nov Dec

Payment start date

► Any day from 01 - 28, if left blank we will use the next available payment date.

### 7.3 Assets to be sold

Complete the following to indicate how you wish us to meet your regular withdrawal payments:

► If you leave this section blank, 7.3a) will apply.

- a) Sell proportionally from all assets/portfolios (including cash held within your CIA)
- b) Sell the following assets/portfolios\*

	%
<b>Total</b>	<b>100%</b>

\* We cannot sell individual assets held within a portfolio, only across all assets within it.

## 8. Your bank details

We will use the information you provide in this section for making any payments to you from your CIA (for example income payments or withdrawals).

- Note** – This must be a UK bank account in the name of the charity; we CANNOT make withdrawal payments to third parties.
- We may ask to see proof of the bank account ownership. We will let you know if this is the case as soon as we can.
  - Some banks or building societies cannot accept direct credits.
  - If you change your bank details, or if you want to request payment to a different account in the future, just let us know. We can hold details for up to four bank accounts under your customer reference number.

Branch sort code   -   -   Bank/Building Society account number

Bank/Building Society name

Name of bank account holder(s)

Reference (optional)

Any reference here will appear on your bank statements. For a Building Society account, enter the roll number.

Bank account type  Trust  Other

## 9. Charges and fees

More information about charges and fees is in the Charges, Fees and Rebates Guide in the CIA Terms & Conditions.

### Part A Quilter Charges

- Your CIA will be on Charge Basis 3, which means it will be subject to our Service Charge.
- If you buy/sell any Exchange Traded Instruments (ETIs) you will also be subject to a Dealing Charge; stamp duty and other costs may also apply when purchasing ETIs.
- If the assets selected include a WealthSelect Managed Portfolio, the CIA will also be subject to a monthly Managed Portfolio Service (MPS) charge.

### Part B Adviser fees ► If required

**Complete this section if you wish us to deduct fees from your account for your financial adviser.**

- Note** – **Percentage fees can be entered up to two decimal places.**
- If you wish to cancel an existing fee instruction using this form, enter £0 or 0% in the boxes for the fee in question. It will be cancelled for the whole account, not just the investment in this application.
  - **Servicing fees**
    - The fee is an annual amount which will be divided by the payment frequency selected and paid to your adviser accordingly.
    - If you leave the frequency blank, we will assume 'monthly'.
    - Any Servicing Fees you authorise will apply to the entire account, and will override any existing Servicing Fee instructions on your account.
    - Where a percentage fee amount is agreed, the fee paid may go up or down depending on the value of your investment on the date the fee is deducted.
  - Refer to Part C and section 10 for details about how fees will be met.

**Initial Fee** ► If initial fees are required, please complete the details in section 4.





## Ongoing Service Fee

- Note** – The servicing fee is an annual amount including VAT, which will be divided by the payment frequency selected and paid accordingly.
- Any servicing fee authorised will override any existing servicing fee instruction on this account.

### Part B - a) - Fixed monetary amount

Fee amount	<input type="text" value="£"/>	each year
Frequency	<input type="radio"/> Monthly <input type="radio"/> Quarterly <input type="radio"/> Half-yearly <input type="radio"/> Yearly	

### Part B - b) - Fixed percentage

Fee amount	<input type="text" value=""/>	% of the account value each year
Frequency	<input type="radio"/> Monthly <input type="radio"/> Quarterly <input type="radio"/> Half-yearly <input type="radio"/> Yearly	

### Part B - c) - Tiered percentage

Tiered fee structure name <input type="text"/>		
<i>Insert the investment bands and their respective percentages in the table below.</i>		
Total investment* value		% Servicing fee each year
Lower limit	Upper limit	
Frequency	<input type="radio"/> Monthly <input type="radio"/> Quarterly <input type="radio"/> Half-yearly <input type="radio"/> Yearly	
<small>* We use the combined value of the investments held under the Customer Reference number to determine the fee rate and then apply that rate to the value of this account. The fee is calculated on a daily basis using the value of the account, multiplied by the annual fee rate and divided by 365.25. The total of accrued daily fees is taken in line with the frequency selected.</small>		

### Part C Charge and fee deductions

- Deductions to meet our Service Charge, MPS charge and any adviser ongoing servicing fees or discretionary investment manager fees, will be met from cash in your account.
- If there is insufficient in cash, we will sell units proportionally across all assets.
- Where we sell units to meet the charge or fee, we will sell 6 times the value of the amount due (subject to a minimum value of £25 and a maximum of 0.75% of your account value). We will place the residual amount in cash within your account. This is to provide sufficient cash to meet future charges or fees without needing to sell assets on a frequent basis.

## 10. Declaration and signatures

Important Information: you must read the following declarations carefully. You should ask your financial adviser if there is anything you do not understand.

**This declaration is made by each party associated with the application.**

**1. On the basis of the details supplied in my application:**

- a) I declare that:
  - i) I am 18 years of age or over
  - ii) the entity is registered in the United Kingdom, Isle of Man, Guernsey or Jersey (this does not apply to top-ups) and will inform Quilter Investment Platform Limited (Quilter) if this changes in the future.
- b) I understand that Quilter will administer the CIA in accordance with UK tax legislation.
- c) I am acting as a trustee, or on behalf of a corporate entity described in the application and I confirm I am suitably authorised to invest and deal in all aspects of this investment.

**2. I authorise Quilter:**

- a) to hold the investments, interest distributions, dividends and any other rights or proceeds in respect of those investments and any other cash
- b) to sell units or shares in investments within this account to meet any charges or fees for my financial adviser or discretionary investment manager (if applicable)
- c) to give effect to my instructions in accordance with the Terms and Conditions.

**3. Contract notes** – I understand that I will not receive contract notes relating to transactions involving the purchase or sale of investments, which are carried out on a periodic basis in the manner agreed to in this application. Details of these transactions will be shown in the periodic statement which will be sent to me. In particular, such transactions include:

- regular investments payable by Direct Debit
- phased investments
- rebalances carried out by my financial adviser or portfolio manager (if applicable)
- regular withdrawals
- dividend and rebate reinvestments
- sales of units to meet Quilter charges and fees for my financial adviser and discretionary investment manager (if applicable).

**4. Important documents** – I have been given the opportunity to read and keep the following, and to have any questions concerning them answered to my satisfaction:

- a) Terms and Conditions, to which I agree
- b) Key Features Document
- c) an illustration and information about the costs and charges associated with my investment
- d) all available Key Investor Information Documents, Key Information Documents and information about rebates, in respect of my chosen assets.

**5. Exchange traded instruments (ETIs)** – Where the application includes instructions to invest into ETIs, I understand the additional charges that apply for transactions involving this type of asset as shown within the illustration.

**6. Personal information** - I confirm that:

- a) I have read Quilter's privacy notice available at [quilter.com/privacy](https://quilter.com/privacy) concerning use of my personal information.
- b) I have obtained the consent of any other party named in this application to use their personal data in accordance with Quilter's privacy notice.

**7. Facilitation of fees** – If I have authorised fees for my financial adviser or discretionary investment manager (DIM) in respect of my application:

- a) I authorise Quilter to deduct those fees from this investment and pay them to my financial adviser or DIM (as applicable).
- b) I confirm that:
  - i) I have agreed any authorised fees with my financial adviser
  - ii) my financial adviser has explained the effect that selling units to pay fees from my investment will have on its future value.
  - iii) before I authorised these fees, my financial adviser explained the tax implications of Quilter deducting them.
- c) I understand that:
  - i) the fees agreed will be met as follows (as applicable):
    - Regular initial fees (Direct Debit), ongoing servicing fees, DIM portfolio fees and ad hoc fees - by deduction from cash in my account
    - Initial Fee (lump sum) – by deduction from my payment before the balance is invested into my choice of assets
    - Initial fee (cash transfers) – by deduction from each cash transfer payment before the balance is invested into my choice of assets
  - ii) where fees will be met from cash in my account, if there is insufficient cash the shortfall will be met by selling proportionally from all funds in my account
  - iii) if I authorise a servicing fee or DIM portfolio fee:
    - as a percentage amount, the fee paid may go up or down depending on the value of the investment on the date the fee is calculated
    - the agreed fee will be an annual amount, which will be divided by the payment frequency selected and paid to my adviser or DIM accordingly
    - the servicing fee will apply to the entire account and will override any existing servicing fee on the account
    - VAT may also be payable on DIM portfolio fees.
  - iv) regular initial fee payments:
    - will be deducted at the same frequency as the Direct Debit collections, on a date based on the anniversary date of the account
    - will be deducted for the number of payments I authorise, unless my Direct Debit is cancelled in which case the fee payments will stop.
  - v) Fees will be paid in line with my account Terms and Conditions and subject to the limits outlined in Quilter's Remuneration Guide for financial advisers.
  - vi) Quilter will confirm details to me of the fees applied to my account.
  - vii) I will need to reauthorise any increases to fees that have been previously agreed.
  - viii) Ad hoc, servicing and DIM portfolio fees deducted from my account will be deemed disposals for CGT purposes unless they are deducted from cash within the account.

- d) I understand that:
- i) I can cancel an adviser ongoing servicing fee at least 10 working days before it is deducted, by contacting Quilter but I cannot make changes to a discretionary management portfolio fee
  - ii) I cannot cancel a fee once it has been deducted, instead I would need to contact my financial adviser to discuss whether a refund is payable.
  - iii) if I cancel a fee, a pro rata payment may be made for the period up to the date of cancellation.
8. **Tax information** – I understand that for regulatory purposes Quilter is required to obtain information concerning my tax status.
- a) I declare that I will provide a completed Tax Declaration for Trust and Corporate Investors to accompany my application.
  - b) I understand that:
    - i) Quilter may need to contact me for further information regarding tax information
    - ii) where the entity is, or any controlling persons are, resident for taxation outside of the UK and/or a national/citizen in a country other than the UK, Quilter may need to share information with the relevant tax authorities.
9. **I declare that my application has been completed correctly and to the best of my knowledge and belief.**
10. **Share class conversions** – If an asset manager launches a new version of an asset that I hold, which offers me better value, I understand that my account will benefit from automatic conversion to the newer version of the asset and I agree to such conversions.

**Signatures** ▶ *all trustees/signatories must sign*

<b>Signature</b>	<input style="width: 95%;" type="text"/>	Date	<input style="width: 95%;" type="text"/>
Print full name	<input style="width: 95%;" type="text"/>	Capacity	<input style="width: 95%;" type="text"/>
<b>Signature</b>	<input style="width: 95%;" type="text"/>	Date	<input style="width: 95%;" type="text"/>
Print full name	<input style="width: 95%;" type="text"/>	Capacity	<input style="width: 95%;" type="text"/>
<b>Signature</b>	<input style="width: 95%;" type="text"/>	Date	<input style="width: 95%;" type="text"/>
Print full name	<input style="width: 95%;" type="text"/>	Capacity	<input style="width: 95%;" type="text"/>
<b>Signature</b>	<input style="width: 95%;" type="text"/>	Date	<input style="width: 95%;" type="text"/>
Print full name	<input style="width: 95%;" type="text"/>	Capacity	<input style="width: 95%;" type="text"/>

**Note** – All types of investment involve some risk.  
 – Your account value may fall or rise and you might not get back what you put in.



**quilter.com**

*Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years. Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB). Quilter Investment Platform Limited and Quilter Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively. Registered Office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB, United Kingdom. Quilter Investment Platform Limited is authorised and regulated by the Financial Conduct Authority. Quilter Life & Pensions Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Their Financial Services register numbers are 165359 and 207977 respectively. VAT number 386 1301 59.*

**quilter.com**

*Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years. Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB). Quilter Investment Platform Limited and Quilter Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively. Registered Office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB, United Kingdom. Quilter Investment Platform Limited is authorised and regulated by the Financial Conduct Authority. Quilter Life & Pensions Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Their Financial Services register numbers are 165359 and 207977 respectively. VAT number 386 1301 59.*



## 11. Direct debit instruction

Complete this section with bank details for your regular payments by Direct Debit.

If you have completed both sections 4.4 and 4.5 in your application, print and complete another copy of this page, because we need a separate instruction for each payer's bank account.

- Note** – Direct Debit investments will CONTINUE INDEFINITELY unless we hear otherwise from you.
- We will complete the 'reference' shown on the Direct Debit Instruction; please leave this blank.
  - The instruction below must be dated, and signed in accordance with the authorised signature(s) for the bank account.
  - Our privacy notice is available at [quilter.com/privacy](https://quilter.com/privacy) concerning use of your personal information.



### INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBIT.



Please fill in the whole form using a ball point pen and send it to:

Quilter Investment Platform Limited,  
Quilter, SUNDERLAND, SR43 4JP.

Name and full postal address of your bank or building society

To: The Manager
bank/building society
Address
Postcode

Name(s) of accountholder(s)

Bank/building society account number

--	--	--	--	--	--	--	--	--	--

Branch sort code

		-			-		
--	--	---	--	--	---	--	--

Banks and building societies may not accept Direct Debit Instructions for some types of account.

Service user number

1	7	4	2	7	2
---	---	---	---	---	---

Reference

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

#### Instruction to your bank or building society

Please pay Quilter Investment Platform Limited Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee.

I understand that this Instruction may remain with Quilter Investment Platform Limited and, if so, details will be passed electronically to my bank/building society.

Signature(s)

--

Date

--	--	--	--	--	--	--	--	--	--

--

--	--	--	--	--	--	--	--	--	--

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 accept Instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit Quilter Investment Platform Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Quilter Investment Platform Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by Quilter Investment Platform Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
  - If you receive a refund you are not entitled to, you must pay it back when Quilter Investment Platform asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.

## 12. Managed Portfolio Service (MPS) and Discretionary Investment Manager (DIM) Portfolios

If the assets selected in section 5 include MPS or DIM portfolios, this section must be completed by your financial adviser.

### Part A - Where the assets in section 5 include any MPS portfolios

- I have read and agreed to the following WealthSelect Managed Portfolio Service declaration.**
- I confirm that I have** explained the WealthSelect Managed Portfolio Service (MPS) to my client(s) and I have their authority to use the MPS in respect of their account and I request that you invest their account into the Managed Portfolio I have selected.
- I confirm that** I have disclosed costs and charges to my client(s).
- I confirm that for each client:**
  - I have given advice in relation to the suitability of using the Managed Portfolio Service and to the Managed Portfolio to be selected which meets my client's needs.
  - I have provided the client with the factsheet for the relevant Managed Portfolio; I have given the client an opportunity to read it and they understand the investment risks relating to the Managed Portfolio Service in general and specifically to the relevant Managed Portfolio.
  - I am responsible for ensuring that the Managed Portfolio selected is suitable currently and on an ongoing basis in accordance with my duties under the FCA rules and the terms of business with Quilter Investment Platform Limited.
  - My client is aware that you, as the portfolio manager, will have complete discretion over the assets in each Managed Portfolio to buy, sell, retain, exchange or otherwise deal in assets, take all routine and day-to-day decisions about the asset allocation of the Managed Portfolios, and that the client and I are not permitted to provide such dealing instructions or modifications to the Managed Portfolio.
  - My client accepts that the agreement to provide the Managed Portfolio Service is between you and me, and I am offering this service to them as part of my agreement with them.
- Where a portfolio that has an explicit Managed Portfolio Service Charge is chosen**
  - I have informed my client and they have agreed that, while the Managed Portfolio Service is in use for their account, a Managed Portfolio Service Charge will be applied in accordance with the latest Terms and Conditions for that account.  
I have explained that:
  - The Managed Portfolio Service Charge will be applied as a percentage of the value held within the Managed Portfolio Service and that the amount of the charge may go up or down depending on the value of the investments.
  - The Managed Portfolio Service Charge is accrued daily and will be deducted from the account on the Account Charge Date.
  - I understand and have informed my client that switches made by you, as the portfolio manager, take no account of a client's tax affairs and may be disposals for Capital Gains Tax purposes. I understand that you, as the portfolio manager, are not liable for any Capital Gains Tax incurred by the client as a result of any switches made to their account to review and adjust the asset allocation for the selected Managed Portfolio.
- My client understands that** deductions to meet withdrawals cannot be taken from individual assets within the Managed Portfolio, only from the Managed Portfolio as a whole.
- My client has a copy** of the latest Charge Basis 3 Terms and Conditions which includes the WealthSelect Managed Portfolio Service. They have had an opportunity to read the conditions and restrictions relating to their account while the Managed Portfolio Service is in use before agreeing to the use of the Managed Portfolio Service.

The latest version of the Terms and Conditions can be found on our website [quilter.com](http://quilter.com)

### Part B - Where the assets in section 5 include any DIM portfolios

- I have read and agreed to the following discretionary managed model portfolio declaration.**
- I confirm that** I have explained the discretionary managed model portfolio service to my client(s) and I have authority from my client(s) to use the discretionary managed model portfolio(s) selected in respect of their account and I request that you invest their account into the model portfolio(s) I have selected.
- I confirm that** I have disclosed costs and charges to my client(s). I have printed/will print an Adviser Fee Authorisation form for my client(s) to sign and will retain a copy of this confirming their acceptance of the discretionary management portfolio fee (if applicable) associated to the model(s).
- I understand that** Quilter may ask for sight of the signed Adviser Fee Authorisation form in the future.
- I confirm that** for each client:
  - I have given advice in relation to the suitability of using the discretionary managed model portfolio(s) selected which meets my client's needs.
  - I am responsible for ensuring that the discretionary managed model portfolio(s) is suitable currently and on an ongoing basis in accordance with my duties under the FCA rules.
  - My client is aware that the portfolio manager will have complete discretion over the assets in each discretionary managed model portfolio to buy, sell, retain, exchange or otherwise deal in assets, take all routine and day-to-day decisions about the asset allocation of the discretionary managed model portfolio, and that the client and I are not permitted to provide such dealing instructions or modifications to the discretionary managed model portfolio.
  - My client accepts that the agreement to provide the discretionary managed model portfolio is between the discretionary investment manager and me, and I am offering this service to them as part of my agreement with them.
  - My client has been made aware of the roles and responsibilities of the discretionary manager in line with regulatory guidance.

Financial adviser's signature

Date

Print name

[quilter.com](https://www.quilter.com)

*Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years.*

*Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB).*

*Quilter Investment Platform Limited and Quilter Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively.*

*Registered Office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB, United Kingdom. Quilter Investment Platform Limited is authorised and regulated by the Financial Conduct Authority. Quilter Life & Pensions Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Their Financial Services register numbers are 165359 and 207977 respectively. VAT number 386 1301 59.*



### Using the editable fields?

To ensure your information is saved correctly, we recommend you save the form to your desktop before you start completing the required fields.

## Tax Declaration and CoVI

– For the Collective Investment Account (CIA) or Collective Investment Bond (CIB), trust and corporate investors

### With this form you can:

- provide information about the entity's tax status, and that of the associated parties (where applicable)
- confirm a trust entity has registered with HMRC's trust registration service or is exempt from registration
- provide your financial adviser's Confirmation of Verification of Identity (CoVI), for the parties included within this declaration if confirmation has not already been provided.

### It is needed for the following:

- new investments into the CIA or CIB in the name of an entity, eg a trust or corporate investor
- new investments into the CIB opened in the name of an individual(s) but which is subsequently being placed into trust
- a change of ownership relating to an entity investment in a CIA or CIB (eg by assignment or transfer)
- payment from a CIA or CIB if there has been a change of circumstances since the form was previously completed (eg a change in account holder, entity or trustees).

Please refer to the Q&A on our adviser literature library (visit the Support Hub, Questions and Answers and search for Tax Declaration).

**We regularly update our forms;** your financial adviser can confirm that this August 2023 version is the latest by checking the literature library on our website [quilter.com](https://www.quilter.com)

- Note**
- **Tax status information** - this is required to enable us to comply with regulations governing automatic exchange of information, including the US Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standards (CRS).
  - **Collection and Disclosure of Information**  
We are required to collect information which includes tax residency, Tax Identification Numbers (TIN) and Global Intermediary Identification Numbers (GIIN) where applicable. We may need to share this information, along with information relating to your investments, with HMRC. This may then be shared between different countries'/ jurisdictions' tax authorities.
  - **Confirmation of Verification of Identity (CoVI)** - this is required for us to meet our obligations under UK money laundering regulations. We will implement enhanced monitoring of higher-risk business.
    - ▶ If there is no requirement for you to complete this tax declaration form, advisers can use the stand-alone CoVI form to provide confirmation of identity where it cannot be provided online.

### Completing this form:

- Complete this form using BLOCK CAPITALS and blue or black ink. For dates, please use the format day/month/year.

### Send your completed form as follows:

- By PROMPT: our tool for uploading documents direct to us
  - For advisers, visit [quilter.com/help-and-support/tools/new-prompt/](https://www.quilter.com/help-and-support/tools/new-prompt/)
  - For customers, visit [quilter.com/help-and-support/tools/promptcustomer/](https://www.quilter.com/help-and-support/tools/promptcustomer/)
- By email: to [ask@quilter.com](mailto:ask@quilter.com)
- By post: to Quilter, SUNDERLAND, SR43 4JP.

Account holder's name ▶ *The entity*

Account number ▶ *If known*

Customer reference				Account	
A	C				

Bond number (CIB only) ▶ *If known*

3					
---	--	--	--	--	--



## Part 1 – Type of entity

Please tick to indicate below which of the following entity categories applies to you.

Tick one

### 1.1 Financial Institution .....

A Financial Institution is an entity which carries out activity related to deposit taking, investment activity, insurance or custody services. This includes:

- Banks
- Insurance Companies
- Custodial Institutions
- Investment Entities

An Investment Entity is one that primarily conducts as a business one or more of the following activities on behalf of a customer:

- trading in money market instruments, foreign exchange, exchange, interest rate and index instruments, transferable securities or commodity future trading
- individual and collective portfolio management; or
- otherwise investing, administering or managing financial assets or money on behalf of other persons

In some circumstances it may be possible that a trust holding an insurance policy will be treated as an Investment Entity, particularly where a professional trustee service provider (such as a solicitor or company) is acting as trustee.

### 1.2 Non-trading entity (Passive Non-Financial Foreign Entity) .....

This is an entity which is not actively trading, for example where the entity only exists to hold investments or income on behalf of another, such as:

- a private company;
- a partnership; and
- other legal arrangements such as a non-professionally managed trust (ie a trust where none of the trustees is a solicitor or a company which provides trustee services).

### 1.3 Actively Trading Entity (Active Non-Financial Foreign Entity) .....

This is an entity which actively engages in trading activity, trades or professions which generates the majority of the income of the entity. If the majority of the income of the entity is generated from passive investments then you should tick 1.2. If you are an entity which is established for religious, charitable, scientific, artistic, cultural, athletic or educational purposes please select 1.4.

### 1.4 Exempt Beneficial Owner .....

If you do not fall into any of the above three categories please describe in the space below the nature of the activity carried out by the entity and as you are claiming exemption from FATCA, please detail the reason. Examples of such entities could be charitable trusts, organisations, sports, clubs, associations and government agencies.

## Part 2 – Tax residence

Tax residency rules for entities vary from country to country and can be complicated. For instance, a company may be tax resident in the country where it is incorporated but may also be tax resident in countries in which it operates. The rules relating to the tax residency for trusts can be equally complex.

**If you are in doubt as to the country of tax residence, you should seek professional advice.**

Please list below each country in which the entity (ie the trust or company) is resident for tax purposes and the tax identification number of the entity, **if the entity has one.**

Country/countries of tax residence	Tax Identification Number (TIN)	Type of TIN*

\* Tax Identification Number (TIN) - A reference used by the entity in reporting tax affairs in any country in which the entity is resident. Please refer to the Q&A on our adviser literature library (visit the Support Hub, Questions and Answers and search for Tax Declaration).



## Part 3 – Further information

Part 3A MUST be completed if you ticked 1.1 in Part 1.

Part 3B MUST be completed if you ticked 1.2 in Part 1.

### 3A Financial institutions

This MUST be completed if you ticked 1.1 in Part 1.

Please tick to indicate which of the following best describes the entity/trust, in accordance with the Regulations:

Tick one

**3.1 Financial Institution in a Model 1 or Model 2 IGA country\*** .....

You can find a list of Model 1 and Model 2 countries at

<https://home.treasury.gov/policy-issues/tax-policy/foreign-account-tax-compliance-act>

**3.2 Participating Financial Institution in a non-IGA country\*** .....

This is a Financial Institution in a non-IGA country that has entered into an agreement with the US Internal Revenue Service (IRS) to comply with the FATCA Regulations.

**3.3 Registered Deemed Compliant Financial Institution\*** .....

This is a Financial Institution that has registered in accordance with the FATCA regulations to declare its status. This includes certain local banks, qualified collective investment vehicles (including non-profit organisations and certain retirement funds), restricted funds and Financial Institutions that comply with the regulations.

**3.4 Certified Deemed Compliant Financial Institution** .....

This is a Financial Institution which is not required to register under the regulations. For example, this includes non-registered local banks.

**3.5 Exempt Beneficial Owner** .....

The term Exempt Beneficial Owner means a government entity, an international organisation, a central bank or a UK registered pension scheme, or non-UK pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of the Regulations.

**3.6 Non-Participating Foreign Financial Institution (NPFPI)** .....

An NPFPI is a Financial Institution that has not entered into an agreement to comply with the Regulations and is not a Registered Deemed Compliant Financial Institution or a Certified Deemed Compliant Financial Institution.

#### \*IRS Global Intermediary Identification Number (GIIN)

A GIIN is issued by the US Internal Revenue Service to Financial Institutions which are complying with the Regulations.

If you have ticked 3.1, 3.2 or 3.3 please provide your GIIN.

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

### 3B Controlling persons

This MUST be completed if you ticked 1.2 in Part 1.

We must obtain information about the underlying Controlling Persons. A Controlling Person is any individual who exerts control over, or has a majority ownership interest in, an entity.

- For companies this includes shareholders who own or control more than 25% of the shares or voting rights or otherwise exercise control over the company. For example, an individual who exercises control over a company is where an individual has less than 25% of the shares or voting rights but who has a percentage ownership or voting right which is significantly higher than other shareholders.
- For trusts this includes settlors, trustees, protectors (if any) and any beneficiary entitled to the trust property, or any discretionary beneficiary who will receive/is receiving trust benefits.
  - **Example 1: Absolute trust with four beneficiaries, each with an equal share. You must provide details of each beneficiary in Part 3B.**
  - **Example 2: Discretionary trust with categories of beneficiary (children, grandchildren etc) where one beneficiary who is/will be in receipt of trust income. You must provide details for the income beneficiary in Part 3B.**

#### Note – Country of tax residence

Normally you are resident for taxation in the country in which you spend the majority of your time each year. However, some countries (eg the United States) may also treat an individual as resident for taxation based on their nationality or citizenship. As tax residence is determined by the country in which tax is paid, it is possible to be tax resident in more than one country.

#### – Tax identification type/number

If your country of tax residence is the UK or the Isle of Man your 'tax identification type' is your National Insurance number. For Guernsey, Jersey or Gibraltar it's your Social Security Number. If you are a US national/tax resident it's your US Tax Identification Number. For many European countries it's your National ID Number; for Greece and Portugal it's the Tax Identification Number; and for Italy it's the Fiscal Code.

- **For help** to work out where you are tax resident, or if you are unsure about your tax identification type/number, please consult a financial adviser or the information at [www.oecd.org/tax/automatic-exchange](http://www.oecd.org/tax/automatic-exchange).

**Please complete the relevant details below in relation to the persons who have ownership or control of the entity.**  
 If there are more than four controlling persons, please provide the same information for each one by using a copy of this page.

Settlor	Trustee	Protector	Shareholder	Beneficiary (or included in a class of beneficiaries)
Title and full name		<input style="width:100%;" type="text"/>		
Date of birth		<input style="width:100%; height: 20px;" type="text"/>		
Residential address		<input style="width:100%;" type="text"/>		
		Postcode		
<b>Nationality(ies)</b>	<b>Country(ies) of residence* for taxation</b>	<b>Tax Identification Number(s) (TIN)*</b>	<b>Type of TIN*</b>	

Settlor	Trustee	Protector	Shareholder	Beneficiary (or included in a class of beneficiaries)
Title and full name		<input style="width:100%;" type="text"/>		
Date of birth		<input style="width:100%; height: 20px;" type="text"/>		
Residential address		<input style="width:100%;" type="text"/>		
		Postcode		
<b>Nationality(ies)</b>	<b>Country(ies) of residence* for taxation</b>	<b>Tax Identification Number(s) (TIN)*</b>	<b>Type of TIN*</b>	

Settlor	Trustee	Protector	Shareholder	Beneficiary (or included in a class of beneficiaries)
Title and full name		<input style="width:100%;" type="text"/>		
Date of birth		<input style="width:100%; height: 20px;" type="text"/>		
Residential address		<input style="width:100%;" type="text"/>		
		Postcode		
<b>Nationality(ies)</b>	<b>Country(ies) of residence* for taxation</b>	<b>Tax Identification Number(s) (TIN)*</b>	<b>Type of TIN*</b>	

Settlor	Trustee	Protector	Shareholder	Beneficiary (or included in a class of beneficiaries)
Title and full name		<input style="width:100%;" type="text"/>		
Date of birth		<input style="width:100%; height: 20px;" type="text"/>		
Residential address		<input style="width:100%;" type="text"/>		
		Postcode		
<b>Nationality(ies)</b>	<b>Country(ies) of residence* for taxation</b>	<b>Tax Identification Number(s) (TIN)*</b>	<b>Type of TIN*</b>	

\* See the notes at the end of the previous page



## Part 4 – Trust Registration

This section applies where the entity in Part 1 is a trust. For all other entity types, continue to Part 5.

To meet our anti-money laundering obligations, Quilter is required to obtain proof that a trust has been registered when processing applications from existing trusts or recording new trusts.

Tick one of the following:

### A – The trust has been registered

Please confirm the following:

Unique Reference Number (URN) **OR** Unique Tax Reference (UTR):

### You must include evidence of registration with this form

Tick here to confirm evidence is attached (see note below)

### B – The Settlor has completed a Quilter trust document (includes a CIA designated account)

The trustees have 90 days from the date of the trust to register. They must provide evidence of registration to Quilter within 90 days of this date.

### C – This trust is exempt from registration

No further action required. *Continue to Part 5.*

#### Note – How to get evidence of registration

The 'declared copy' initially produced after registration cannot be accepted as evidence. The official 'Proof of Registration' document is available via the trust's Government Gateway ID. You can use our guide to help you register and download evidence. It can be found here [Guide for Registering your Trust](#). For assistance accessing the proof of registration document, contact HMRC on 0300 123 1072.

## Part 5 – Declaration and certification

This declaration can be made by all controlling parties or can be made by one controlling person on behalf of the entity. Alternatively, the financial adviser, as agent, may make this declaration on behalf of the entity.

The declaration is made by each person signing below.

1. I as a director, controller, trustee or person acting on behalf of the entity declare that the information provided in this Tax Declaration is, to the best of my knowledge and belief, accurate and that the statements made herein are true and complete.
2. I agree to notify you if any information contained in this Tax Declaration changes, for example where the controlling persons change. I understand that this may require a new Tax Declaration form to be completed.
3. I understand that the information collected in this Tax Declaration may be disclosed to the collecting institution's home state tax authority which may, under a relevant inter-governmental agreement, provide the information to an overseas tax authority.
4. **Personal information** – I confirm that:
  - a) I have read Quilter's privacy notice available at [quilter.com/privacy](https://quilter.com/privacy) concerning use of my personal information.
  - b) I have obtained the consent of any other party named in this application to use their personal data in accordance with Quilter's privacy notice.
5. For Trusts only.
  - a) I confirm that the information provided in Part 4 of this form is correct.
  - b) I agree to submit evidence of registration to Quilter either with this form or within 90 days of the trust's declaration date (unless exempt from registration).

By signing below I confirm that I have read the above declaration and, if a third party has completed this form on behalf of the account holder that all the information provided within it is correct.

Signed on behalf of  
(entity name)

Signature:

Date

Print full name

Capacity in  
which signing

Signature:

Date

Print full name

Capacity in  
which signing

<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing	<input type="text"/>
<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing	<input type="text"/>
<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing	<input type="text"/>
<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing	<input type="text"/>

**Part 6 – Confirmation of verification of identity** ▶ *To be completed by the financial adviser*

1. I confirm that:
  - a) I have verified the identity of all parties referred to in this form, other than any listed in (e) below
  - b) the information in this form was obtained by me in respect of those parties
  - c) the evidence I have obtained to verify the identity of the relevant parties can be produced on demand and meets the standard of evidence set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group (JMLSG)
  - d) if any individual referred to in this form has changed address within the last three months, I can provide evidence on demand
  - e) I have not verified the identity of the following parties referred to in this form because they are exempt from verification under Money Laundering Regulations
  - f) this section is signed below by the person who has seen the documentary evidence (which may include an electronic identity check).
2. Tax information – based on the knowledge I have gained of the relevant parties, I have no reason to believe that the tax residency self-certification requires any follow-up action from me.

Financial adviser's signature	<input type="text"/>	Date	<input type="text"/>
Print name	<input type="text"/>	Position	<input type="text"/>
Email address	<input type="text"/>	Telephone	<input type="text"/>
Full name of regulated firm	<input type="text"/>	Financial Services number	<input type="text"/>



[quilter.com](http://quilter.com)

Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years. Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB). Quilter Investment Platform Limited and Quilter Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively. Registered Office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB, United Kingdom. Quilter Investment Platform Limited is authorised and regulated by the Financial Conduct Authority. Quilter Life & Pensions Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Their Financial Services register numbers are 165359 and 207977 respectively. VAT number 386 1301 59.



## Using the editable fields?

To ensure your information is saved correctly, we recommend you save the form to your desktop before you start completing the required fields.

# Transfer authority

- *Collective Investment Account (CIA)*
- *trust, corporate or pension scheme applicants*

- Note**
- A separate form will be required for each existing provider you wish to authorise (referred to in this form as ‘ceding provider’).
  - Missing information will result in delays.
  - You can only transfer units/shares that the applicant already owns and that are in the name of the trust/company/pension scheme (or held on its behalf by a Nominee).
  - Do not use this form for individual investors, for which there is a separate form.
  - Please tick/complete this form using BLOCK CAPITALS and blue or black ink. For dates please use the format day/month/year.

**We regularly update our forms;** your financial adviser can confirm that this **August 2023** version is the latest by checking the literature library on our website [quilter.com](https://www.quilter.com)

**Send the completed form to:** Quilter, SUNDERLAND, SR43 4JP.

## 1. Investor details

Name

► *the trust/company/pension scheme name*

Registered address

  


Postcode

Company registration number

► *UK companies only*

PSO/PSTR number

► *Pension schemes only*

<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"/>	R	<input type="text"/>
----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	---	----------------------

Account number with Quilter

A	C	<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"/>
---	---	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	---	----------------------	----------------------	----------------------

## 2. Fund manager or product provider's details

► *If the details you give differ from the ceding provider's records, the transfer will be delayed*

Name of fund manager or product provider

Address of fund manager or product provider

  


Postcode

► *This must be the current address to avoid any delays with the transfer or the need to complete a replacement authority.*

Fund manager or product provider's reference number

► *Some fund managers/providers require a separate form for each reference number.*

Designation (if applicable)

## 3. Transfer details

Transfer type

Cash transfer - go to section 4

Re-register assets - go to section 5



## 4. Cash transfer

- Note**
- For a cash transfer, the assets will be sold and the cash proceeds transferred to Quilter; this could cause a CGT liability.
  - Any sale of Exchange Traded Instruments (ETIs) may incur the ceding manager's dealing charges.
  - Full transfers:**
    - If any assets are suspended and cannot therefore be sold, we will arrange to re-register the suspended asset (where possible) provided at least one other asset can be transferred as cash.
  - Partial transfers:**
    - If any assets are suspended and cannot therefore be sold, we will seek revised instructions
    - If your current provider cannot carry out partial transfers, we will contact you to discuss your options.

4.1 Value to be transferred\*

£

\*For full transfers enter the estimated current value; for partial transfers, enter the amount to be transferred.

4.2 Full or partial transfer

Full

Partial

## 5. Assets to be re-registered

- Note**
- List the assets to be re-registered in section 5.2.
  - If any of them cannot be re-registered for any reason, they will be sold and the proceeds placed in cash within the CIA. You can then switch from cash into a revised asset choice.
  - If assets are sold, this could cause a CGT liability. Any sale of Exchange Traded Instruments (ETIs) may incur the ceding provider's dealing charges.
  - If any assets to be re-registered are currently held as part of a model portfolio, the model will need to be 'deconstructed' with the current provider first, then the individual assets re-registered to us.
  - If we hold a preferential share class for an asset being re-registered, we will convert the asset to the preferential share class once it has been re-registered.
  - Full transfers:**
    - If any assets are suspended or 'closed to purchases', we can still carry out a full transfer provided at least one of the assets is not suspended or closed to purchases.
    - Use the option beneath the table in section 5.2 to give instructions for any assets not listed.
  - Partial transfers:**
    - If any of the assets are suspended or 'closed to purchases', we will not be able to carry out a partial transfer.
    - If there is insufficient space to list all assets to be re-registered, please provide the additional details on a signed copy of section 5.2.
    - If your current provider cannot carry out partial transfers, we will contact you to discuss your options.

5.1 Residual cash value\*

£

\*This is the cash amount held by the ceding provider in the investment, which is also to be transferred.

5.2 Complete the table below with details of the assets to be re-registered.

► To re-register an entire asset, write 'all' as the number of units.

Assets to be re-registered	Inc/Acc	No. of units

– Full or partial transfer

Full\*\*

Partial

\*\*Any assets not listed above for a full transfer should be:

Re-registered

Sold and transferred as cash proceeds

► If neither box is ticked, we will re-register any remaining assets, where possible.

## 6. Authority

This authority is given by each of the undersigned.

1. I authorise the ceding provider named in this form to carry out the transfer as indicated and to provide Quilter Investment Platform Limited with any information it may require.
2. I confirm that this transaction is exempt from Stamp Duty Reserve Tax (SDRT) by virtue of Paragraph 6 of Schedule 19 of the Finance Act 1999.
3. **If I have requested re-registration:**
  - I authorise the ceding provider to re-register the assets as detailed with immediate effect to Quilter Investment Platform Nominees Limited – Designation: 'OMWL', Senator House, 85 Queen Victoria Street, London, EC4V 4AB.
  - I understand that where Quilter holds a preferential share class for an asset being re-registered, Quilter will convert the asset to the preferential share class once it has been re-registered.
  - I authorise the ceding provider to sell any of my assets that cannot be re-registered for whatever reason, and to transfer the cash proceeds in pounds sterling to Quilter.
  - I confirm that the re-registration of the assets held will not change the beneficial ownership from the current holder.
4. **If I have requested a cash transfer:**
  - I authorise the ceding provider to sell the assets and to transfer the cash proceeds in pounds sterling to Quilter
  - and an asset included in my request is suspended, I authorise the ceding provider to re-register the asset in line with point 3.
5. I authorise the ceding provider to transfer any cash proceeds to Quilter Investment Platform Ltd, Transfers Client Account (NatWest, sort code 56-00-68, account number 44842880) stating the account number with Quilter as the reference, if given in section 1 (or, if blank, the investor name).
6. I understand that any sale of assets could cause a Capital Gains Tax liability and any sale of Exchange Traded Instruments (ETIs) may incur the ceding provider's dealing charges.

<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity <i>(eg trustee, signatory)</i>	<input type="text"/>
<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity <i>(eg trustee, signatory)</i>	<input type="text"/>
<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity <i>(eg trustee, signatory)</i>	<input type="text"/>
<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity <i>(eg trustee, signatory)</i>	<input type="text"/>



[quilter.com](https://www.quilter.com)

Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years. Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB). Quilter Investment Platform Limited and Quilter Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively. Registered Office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB, United Kingdom. Quilter Investment Platform Limited is authorised and regulated by the Financial Conduct Authority. Quilter Life & Pensions Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Their Financial Services register numbers are 165359 and 207977 respectively. VAT number 386 1301 59.