

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 of ownership

From: a Collective Investment Account (CIA)

To: a CIA for a trust, corporate or pension scheme applicant

For completion with a financial adviser

With this form you can:

- transfer some or all investments (without actually selling them) from a Collective Investment Account (CIA) to a new or existing CIA in the name of a trust, company or pension scheme.

This form cannot be used for:

- transferring investments into a CIA for individuals, or
- transferring investments from an account in the name of a deceased investor for which there are separate forms available from your 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 the form 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.
- If the transfer is to/from more than one account, a separate form will be required for each one.
- **Part A** must be signed by all investors/trustees or signatories on the account being transferred.
- **Part B** must be completed and signed by the trustees or signatories for the applicant to whom the ownership is being transferred, **as well as their financial adviser.**

Send your completed form as follows:

- **Email:** send your scanned copy via PROMPT, our tool for uploading documents direct to us.
For customers, visit: [quilter.com/help-and-support/tools/promptcustomer/](https://www.quilter.com/help-and-support/tools/promptcustomer/)
For advisers, visit: [quilter.com/help-and-support/tools/new-prompt/](https://www.quilter.com/help-and-support/tools/new-prompt/)
Or email your scanned copy to servicing2@quilter.com
- **Post:** send the completed form to Quilter, SUNDERLAND, SR43 4JP.

Part A - Transfer Instruction

A1. Existing CIA details

Please give details of the account **from which the transfer is being made.**

	Customer Reference	Account
CIA account number:	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"/> <input type="text"/> <input type="text"/>
Investor's full name	<input type="text"/>	
Permanent residential/registered address of investor	<input type="text"/>	
		Postcode
Telephone number	<input type="text"/>	Email <input type="text"/>
Joint investor's full name	<input type="text"/>	
▶ <i>If applicable</i>		



A2. Transfer details

Complete either i) or ii) to show the assets and percentages to be transferred.

Note – We cannot transfer a specific amount of money.
 – If the assets include any Exchange Traded Instruments (ETIs), they can only be transferred in whole units. We will therefore transfer the asset by rounding down to the nearest whole unit.
 – **If any assets are not available to be transferred, we will sell them and transfer the cash proceeds instead, unless you request otherwise.** ► *Selling assets could create a Capital Gains Tax Liability.*

i) Transfer this percentage from ALL assets on the existing account (including cash)

► *Please use whole percentages; if you select 100%, all assets will be transferred and the account number will be closed.*

 %

OR

ii) Transfer the following assets from the existing account ► *Please use whole percentages*

Asset name	% to transfer
	%
	%
	%
	%
	%

A3. Declaration

This declaration is made by each party authorising the account to be transferred.

- I request Quilter Investment Platform Limited ('Quilter') to carry out the transfer of assets as indicated in this form, from the account stated in section A1, to the Collective Investment Account detailed in Part B.
- I understand that:
 - the transfer of ownership could have tax implications and that I should consult my financial adviser for advice.
 - if the entire account is being transferred:
 - the existing account will be closed and any instructions on the account will therefore stop;
 - prior to the transfer taking place, any accrued fees and charges will be deducted from the value of the account and any interest accrued will be added.
 - the effective date of the transfer will be the date Quilter carries out the transfer of assets between the accounts, unless otherwise stated in Part B1.4.
- In signing below I accept the conditions given and referred to in this form.

All investors/trustees/signatories for the account must sign.

Signature	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity*	<input type="text"/>
Signature	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity*	<input type="text"/>
Signature	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity*	<input type="text"/>
Signature	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity*	<input type="text"/>

**eg investor, trustee, signatory, attorney
 (continue on a separate sheet if necessary)*

Transfer of ownership

From: a Collective Investment Account (CIA)

To: a CIA for a trust, corporate or pension scheme applicant

For completion with a financial adviser

Part B - CIA Application

With this form you can:

- invest in a new CIA
 - top up an existing CIA
- with investments transferred from the account detailed in Part A.

This form cannot be used for:

- transferring investments into a CIA for an individual(s), or
- transferring investments from an account in the name of a deceased investor for which there are separate forms available from your financial adviser.

Completing this form

- Complete the form 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.
- Part B must be signed in **section B7 by the trustees or signatories for the new investor and in section B1 by their financial adviser.**
- This application does not cater for the following, which can be arranged after the account is opened, if required:
 - Direct Debit payments
 - Regular withdrawals
 - Phased investment
 - Investment using our Managed Portfolio Service (MPS).

Additional documents or information 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.

Important documents you need to read before completing your application

Your financial adviser will have provided you with the following:

- **CIA Key Features Document**
- **CIA Terms and Conditions**
- **An illustration**, which includes a Costs and Charges Statement.
- **Information about the assets being transferred to you, 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 B7, the declaration you sign will include your confirmation that you have read these documents.

B1. Financial adviser's details and declaration ► To be completed by your financial adviser

B1.1 Network ► *If applicable* Company name
Assigned adviser/Account to receive remuneration

B1.2 Are you appropriately authorised to conduct this business? Yes - go to B1.3 No - you will be unable to submit this application

B1.3 Did you give financial advice to the client in respect of this application? Yes No

B1.4 Capital Gains Tax (CGT)

If you use our CGT reporting tool, please complete these details so that we can correctly record how this transfer should be reported within the tool.

a) Is the beneficial owner changing as part of this transfer?

Yes - go to b)

No* - go to c) **This means:*

- **Transferor's account** - the tool will not treat the transfer as a disposal and will show a 'no gain/no loss' transaction.
- **New account** - the tool will calculate gains and/or losses from the values acquired by the transferor.

b) Is this transfer of ownership an exempt transfer for CGT purposes?

Yes*

**This means:*

- **Transferor's account** - the tool will treat the transfer as exempt (eg spouse/civil partner transfer) and show a 'no gain/no loss' transaction.
- **New account** - the tool will calculate gains and/or losses from the values acquired by the transferor.

No*

**This means:*

- **Transferor's account** - the tool will treat the transfer as a disposal and show a gain or loss using prices as at the effective date.
- **New account** - the tool will calculate gains and/or losses from the market value as at the effective date.

c) The effective date of the transfer

- We will treat the date Quilter Investment Platform Limited carries out the transfer of assets between the accounts as the effective date of the transfer.

UNLESS

- The transfer should be treated as occurring on a specific date in the past in which case please enter the effective date below.

► *This cannot be in the future*

Declaration

B1.5 Adviser Fees - I understand that adviser fees will be paid subject to the limits outlined in Quilter's Remuneration Guide.

B1.6 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 Date
Print full name Position
Email address Telephone

Note Additional needs

- If any of the parties associated with the investment (eg trustees, officers) have any 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](#).

B2. Applicant details

B2.1 Type of investment ▶ *If neither is ticked, we will open a new account.*

New account*

**If more than one transfer of ownership is being made into the same name, we will add all transfers to the same new account. If you would like them in separate accounts please tick here*

Customer Reference Account

Top up this account number**:

A	C										–			
---	---	--	--	--	--	--	--	--	--	--	---	--	--	--

***We cannot change the investors on an existing CIA; if this is required, a new account will need to be opened.*

B2.2 Applicant's details

Entity name

Type of entity	Trust SIPP*	Corporate SSAS*	Corporate – Offshore bond* Other pension scheme*	Club /Association Charity
----------------	----------------	--------------------	---	------------------------------

**Record the third party provider's name below*

*Third party provider's name

Email address

Telephone

Registration number

▶ *Mandatory for corporate applicants*

PSTR/PSO number

										R	
--	--	--	--	--	--	--	--	--	--	---	--

▶ *For pension scheme applicants*

Registered charity number

▶ *If applicable*

UK registered address

	Postcode

Use this address for correspondence?

Yes No – enter the correspondence address below

Correspondence address

	Postcode

Tax reporting

Country of registration

Tax reporting country

LEI code

				0	0											
--	--	--	--	---	---	--	--	--	--	--	--	--	--	--	--	--

GIIN

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

Offshore bond or pension scheme

External ID

▶ *This is for the third party's reference, if required*

Interested party

▶ *This is typically the underlying client*

B2.3 Trust details

Trust date

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

Is/are the names of the beneficiary/beneficiaries known?

Yes ▶ *See section B2.4*

No ▶ *Please state the class(es) of the beneficiary/beneficiaries: Class(es)* ▶ *eg grandchildren*

B2.4 Associated parties

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

B3. Asset choice

Where available*, assets will be transferred from the account detailed in Part A of this form.

** If any assets are not available to be transferred, unless requested otherwise, we will sell them and transfer the sale proceeds instead. The proceeds will be held as cash within your CIA but you or your adviser will be able to switch the cash into different assets once the transfer is complete, if required.*

B4. Distribution options

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

► *If left blank, B4.1 will apply.*

Note Interest earned on any cash held within your CIA

- If you select B4.1 or B4.2, any interest earned on cash in your CIA, will be added to the cash balance.
- However, if you select B4.3, the interest will be paid out with your income.

Exchange Traded Instruments (ETIs)

- If you select B4.1, 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).

B4.1 Reinvest into the CIA

B4.2 Leave as cash in the CIA

B4.3 Pay the income into the bank account detailed in section B5, as follows:

- a) Immediately** – Income will be paid into the bank account as and when received from the asset managers.
- b) Regularly** – Select the required frequency:
- Monthly Quarterly Half-yearly Yearly

B5. 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 entity; we CANNOT make withdrawal payments to third parties.
 - We may need 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.*

Type of bank account

Trust Other

B6. 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 the 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.
- Your account will also be subject to a monthly Managed Portfolio Service (MPS) charge if you invest through the MPS.

Part B - Adviser fees ► *If required*

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

Initial fee ► *An initial fee is not available for this type of application.*

Ongoing servicing fee (overleaf)

Ongoing servicing fee

- Note**
- The servicing fee is an annual amount including VAT, which will be divided by the payment frequency selected and paid accordingly. ► For example, £100 half-yearly would be £50 every six months.
 - Percentage fees can be entered up to two decimal places.
 - 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.
 - Any servicing fee authorised will override any existing servicing fee instruction on this account.
 - If you leave the frequency blank, we will assume 'monthly'.
 - If you wish to cancel an existing fee instruction using this form, enter £0 or 0%. It will be cancelled for the whole account, not just the investment in this application.
 - Refer to Part C and section B7 for details about how fees will be met.

A - Fixed monetary amount

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

B - Fixed percentage

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

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	Monthly	Quarterly	Half-yearly	Yearly
* 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.				

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.



B7. Declaration and signature(s)

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 signing 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 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*

<p>Signature <input style="width: 90%; height: 20px;" type="text"/></p> <p>Print full name</p>	<p>Date <input style="width: 100%; height: 20px;" type="text"/></p> <p>Capacity</p>
<p>Signature <input style="width: 90%; height: 20px;" type="text"/></p> <p>Print full name</p>	<p>Date <input style="width: 100%; height: 20px;" type="text"/></p> <p>Capacity</p>
<p>Signature <input style="width: 90%; height: 20px;" type="text"/></p> <p>Print full name</p>	<p>Date <input style="width: 100%; height: 20px;" type="text"/></p> <p>Capacity</p>
<p>Signature <input style="width: 90%; height: 20px;" type="text"/></p> <p>Print full name</p>	<p>Date <input style="width: 100%; height: 20px;" type="text"/></p> <p>Capacity</p>

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



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
- 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.

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				
Nationality(ies)	Country(ies) of residence* for taxation			Tax Identification Number(s) (TIN)*	
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>			<input style="width: 100%;" type="text"/>	
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>			<input style="width: 100%;" type="text"/>	

	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				
Nationality(ies)	Country(ies) of residence* for taxation			Tax Identification Number(s) (TIN)*	
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>			<input style="width: 100%;" type="text"/>	
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>			<input style="width: 100%;" type="text"/>	

	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				
Nationality(ies)	Country(ies) of residence* for taxation			Tax Identification Number(s) (TIN)*	
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>			<input style="width: 100%;" type="text"/>	
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>			<input style="width: 100%;" type="text"/>	

	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				
Nationality(ies)	Country(ies) of residence* for taxation			Tax Identification Number(s) (TIN)*	
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>			<input style="width: 100%;" type="text"/>	
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>			<input style="width: 100%;" type="text"/>	

* 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 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

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

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.

