APPLICATION FORM

DISCRETIONARY PORTFOLIO SERVICE

PRIVATE CLIENT

QUILTER CHEVIOT
INVESTMENT MANAGEMENT

Vision INDEPENDENT FINANCIAL PLANNING

Please complete this form to provide us with as much information as you can to open an account with us. It is important that all the questions are answered, as incomplete forms will delay the opening of your account.

The more information you share, the more easily we will be able to match our investment service to your requirements.

If you do not understand anything in these documents, please ask your investment manager for further information and guidance. Please inform us immediately if your circumstances change as this may affect the suitability of any investment decision or recommendation we make.

Discretionary Portfolio Service (DPS)

This is our discretionary investment management service where, depending on any restriction you choose to apply, your investment manager has full authority to manage your investments without prior reference to you.

Please complete Part A, B, C, D and E and sign the acceptance.

PART A: PERSONAL DETAILS

ACCOUNT NAME

SOLE APPLICANT OR FIRST APPLICANT OF A JOINT ACCOUNT

PERSONAL DETAILS

Title:

Surname:

Previous surname if changed, or any alias that has ever been used:

Forename(s):

Date of birth:

DD MM YYYY

Nationality (if you hold dual nationality please give both countries):

Country of birth:

CONTACT DETAILS

Permanent residential address (we are unable to accept a 'care of' or post box):

Postcode:

Preferred correspondence address (if this is not the permanent residential address):

Postcode:

Email:

Mobile telephone number:

We will send you an investment report that includes a valuation, performance summary, transaction schedule, capital and income statements. We will also provide you with online access to our portal.

Where investments are subject to UK or Irish income or capital gains taxes, an annual tax summary is available and will be sent to you or, if requested, your appointed agent, such as your accountant. For pensions and offshore bonds, the tax summary is sent to the product provider. Please note that the tax information that we provide does not constitute tax advice and independent tax advice should be sought.

EMPLOYMENT AND BUSINESS INTERESTS

If you are employed in any capacity please give details below. Otherwise, please indicate your previous occupation or state if you have not been employed previously.

Are you retired from all employment activities (including consultancy)?

Yes ☐ No ☐

Are you a director or significant senior manager of a Public Limited Company?

Yes ☐ No ☐

If yes, list which company(ies) and company(ies) positions:

Are you or have you ever been employed in the financial services industry?

Yes ☐ No ☐

If yes, please provide details:

Are you an individual, in the UK or abroad, who has held a prominent public function (for example senior politician, senior government, judicial or military official, senior executive of state owned corporation, important political party official). Or have you ever been connected, directly or indirectly (for example by blood, marriage or business/ financial link) to such an individual?

Yes ☐ No ☐

If yes, please state their position and/or connection:

Does your employer (if any) need to receive contract notes?

Yes ☐ No ☐

If yes, please provide details:

INVESTMENT EXPERIENCE

Your answers to these questions will enable us to determine your familiarity with particular types of services and investment matters relevant to our services, and the associated risks. Please refer to the risk warnings outlined in Annex 1 of our terms and conditions booklet (or on our website **https://www.quiltercheviot.com/risk-factors**), for further explanation.

Please indicate the level of experience and understanding you have of investment matters by providing the following information.

For trustees and authorised signatories, please give the following information, based on your collective experience.

Relevant Experience

Please indicate how long you have previously held an investment portfolio and the type of services you received:

This is a first time investment ☐

	Discretionary Service	Advisory Service	Execution Only
Under 5 Years	☐	☐	☐
5 to 10 Years	☐	☐	☐
Over 10 Years	☐	☐	☐

If Discretionary, did the service you used provide a central model?

Yes ☐ No ☐ Unsure ☐

Relevant Investments

Please tick which of the following investments you consider yourself to be familiar with from your previous investment experience:

- ☐ Government/Corporate bonds
- ☐ Quoted equities
- ☐ Unit Trusts/Open Ended Investment Companies or SICAV
- ☐ Venture Capital/Private equity
- ☐ Structured products
- ☐ Unquoted investments
- ☐ Unregulated collective investments
- ☐ Unregulated hedge funds

Do you have experience using derivatives (including options) warrants, leveraged or unregulated investment products?

Yes ☐ No ☐

If yes, please give average value, frequency, period and reason (e.g. hedging or speculation):

Please indicate any relevant education:

For **Advisory and Execution Only services**, please indicate the average value, frequency and period for your transactions:

in Government bonds, corporate bonds, quoted equities, unit trusts, OEICs or SICAV funds

Size of transaction:

- ☐ Under £1,000
- ☐ £1,000-£9,999
- ☐ £10,000-£49,999
- ☐ £50,000 and over

Frequency of transaction:

- ☐ Weekly
- ☐ Monthly or 12 per year
- ☐ Less than 12 transactions per year
- ☐ No transactions

in venture capital trusts, private equity, structured products, unquoted investments, unregulated investments or unregulated hedge funds

Size of transaction:

- ☐ Under £1,000
- ☐ £1,000-£9,999
- ☐ £10,000-£49,999
- ☐ £50,000 and over

Frequency of transaction:

- ☐ Weekly
- ☐ Monthly or 12 per year
- ☐ Less than 12 transactions per year
- ☐ No transactions

SECOND APPLICANT OF A JOINT ACCOUNT

PERSONAL DETAILS

Title:

Surname:

Previous surname if changed, or any alias that has ever been used:

Forename(s):

Relationship to first applicant:

Date of birth:

DD MM YYYY

Nationality (if you hold dual nationality please give both countries):

Country of birth:

CONTACT DETAILS (IF DIFFERENT FROM FIRST APPLICANT)

Permanent residential address (we are unable to accept a 'care of' or post box):

Postcode:

Preferred correspondence address (if this is not the permanent residential address):

Postcode:

Email:

Mobile telephone number:

EMPLOYMENT AND BUSINESS INTERESTS

If you are employed in any capacity please give details below. Otherwise, please indicate your previous occupation or state if you have not been employed previously.

Are you retired from all employment activities (including consultancy)?

Yes ☐ No ☐

Are you a director or significant senior manager of a Public Limited Company?

Yes ☐ No ☐

If yes, list which company(ies) and company(ies) positions:

Are you or have you ever been employed in the financial services industry?

Yes ☐ No ☐

If yes, please provide details:

Are you an individual, in the UK or abroad, who has held a prominent public function (for example senior politician, senior government, judicial or military official, senior executive of state owned corporation, important political party official). Or have you ever been connected, directly or indirectly (for example by blood, marriage or business/ financial link) to such an individual?

Yes ☐ No ☐

If yes, please state their position and/or connection:

Does your employer (if any) need to receive contract notes?

Yes ☐ No ☐

If yes, please provide details:

INVESTMENT EXPERIENCE

Your answers to these questions will enable us to determine your familiarity with particular types of services and investment matters relevant to our services, and the associated risks. Please refer to the risk warnings outlined in Annex 1 of our terms and conditions booklet (or on our website **https://www.quiltercheviot.com/risk-factors**), for further explanation.

Please indicate the level of experience and understanding you have of investment matters by providing the following information.

For trustees and authorised signatories, please give the following information, based on your collective experience.

Relevant Experience

Please indicate how long you have previously held an investment portfolio and the type of services you received:

This is a first time investment ☐

	Discretionary Service	Advisory Service	Execution Only
Under 5 Years	☐	☐	☐
5 to 10 Years	☐	☐	☐
Over 10 Years	☐	☐	☐

If Discretionary, did the service you used provide a central model?

Yes ☐ No ☐ Unsure ☐

Relevant Investments

Please tick which of the following investments you consider yourself to be familiar with from your previous investment experience:

☐ Government/Corporate bonds
☐ Quoted equities
☐ Unit Trusts/Open Ended Investment Companies or SICAV
☐ Venture Capital/Private equity
☐ Structured products
☐ Unquoted investments
☐ Unregulated collective investments
☐ Unregulated hedge funds

Do you have experience using derivatives (including options) warrants, leveraged or unregulated investment products?

Yes ☐ No ☐

If yes, please give average value, frequency, period and reason (e.g. hedging or speculation):

Please indicate any relevant education:

For **Advisory and Execution Only services**, please indicate the average value, frequency and period for your transactions:

in Government bonds, corporate bonds, quoted equities, unit trusts, OEICs or SICAV funds

Size of transaction:

- ☐ Under £1,000
- ☐ £1,000-£9,999
- ☐ £10,000-£49,999
- ☐ £50,000 and over

Frequency of transaction:

- ☐ Weekly
- ☐ Monthly or 12 per year
- ☐ Less than 12 transactions per year
- ☐ No transactions

in venture capital trusts, private equity, structured products, unquoted investments, unregulated investments or unregulated hedge funds

Size of transaction:

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- ☐ £10,000-£49,999
- ☐ £50,000 and over

Frequency of transaction:

- ☐ Weekly
- ☐ Monthly or 12 per year
- ☐ Less than 12 transactions per year
- ☐ No transactions

FINANCIAL DEPENDANTS

Please give details of financial dependants e.g. under 18s or elderly relatives:

Name	Date of birth
	DD / MM / YYYY
	DD / MM / YYYY
	DD / MM / YYYY
	DD / MM / YYYY

For adult dependants, please give an indication of the level of financial support you provide, such as partial or full support and indicate the approximate amount each year:

MINOR CHILD/BARE TRUST

If this account is to be used for investing as bare trustees for children under 18 years of age, please give details below of the children.

A certified copy of each minor child's birth certificate or passport must be supplied. For details of certification of documents, please ask your investment manager.

Name	Date of birth
	DD / MM / YYYY
	DD / MM / YYYY
	DD / MM / YYYY
	DD / MM / YYYY

PART B: YOUR FINANCIAL CIRCUMSTANCES

FINANCIAL BACKGROUND

To ensure that our service is right for you, we need to have an overview of your financial background, income, expenditure, assets and liabilities.

Any information given here is to help us to assess your financial circumstances so that we can match the investment service that you have selected to your requirements. This information will not be used for marketing purposes.

If you have a financial adviser and you would like us to obtain this information from them, please tick the box below and make sure that you provide their full details on page 13. ☐

If you are unsure where to obtain the information, your investment manager can help you to complete this section. Asset values, income, expenditure and liabilities need only be approximate.

If you do not wish to or cannot provide this information it may not be possible to provide you with this service.

ASSETS	FIRST OR SOLE APPLICANT		SECOND APPLICANT	
	Personally held assets	Your share of jointly held assets	Personally held assets	Your share of jointly held assets
Main Residence	£	£	£	£
Other Property	£	£	£	£
Personal Pension fund	£	£	£	£
INVESTMENTS HELD OUTSIDE QUILTER CHEVIOT				
Investments	£	£	£	£
Stocks & Shares ISA	£		£	
Cash ISA	£		£	
Cash Deposit	£	£	£	£
INVESTMENTS MANAGED BY QUILTER CHEVIOT				
Value	£	£	£	£
TOTAL	£	£	£	£

	First or sole applicant	Second applicant
Details of other assets, please give values if available:		
Which of the above will fund the Quilter Cheviot account that you are opening?		

LIABILITIES	**FIRST OR SOLE APPLICANT** Personal liability	Your share of joint liabilities	**SECOND APPLICANT** Personal liability	Your share of joint liabilities
Mortgage	£	£	£	£
Method of repayment			Repayment date	YYYY
Other liabilities	£	£	£	£
Method of repayment			Repayment date	YYYY

GROSS INCOME PER ANNUM	**FIRST OR SOLE APPLICANT**	**SECOND APPLICANT**
Employment	£	£
State pension	£	£
Other pensions	£	£
Savings including expected income from assets transferred to or held by Quilter Cheviot	£	£
Other*	£	£
TOTAL INCOME	£	£

*If other, please give details:

Notes:

FUTURE CIRCUMSTANCES

Do you foresee any changes to your circumstances in the future? If so, please give details below:

Personal (e.g. house purchase, marriage, birth of child, expenditure on dependants such as school fees):

Financial (e.g. inheritance, bonus, significant capital withdrawal):

Health. If in poor health please give details:

PART C: INVESTMENT STRATEGY

The following questions will help us recommend and implement a suitable long-term investment strategy. **It is important that you keep us informed of any changes to your circumstances or objectives so we can review the strategy.**

YOUR INVESTMENT OBJECTIVE

Please select one of the following as your main objective:

☐ Capital Growth – the principal objective is to grow the capital value of the portfolio.

☐ Capital Growth and Income – the objective is to grow the capital value of the portfolio, as well as generating some degree of income from the portfolio.

☐ Income – the principal objective is to generate income from the portfolio.

UNDERSTANDING RISK

Obtaining an investment return higher than cash deposits will involve taking risk. To meet your longer-term objectives, you may have to be prepared to take on a higher level of risk than you have historically.

The key risks of our services are outlined here: **https://www.quiltercheviot.com/risk-factors/**. Risk associated with investments can take many different forms, including:

- The sensitivity to various market events or economic factors, including changes to interest rates and inflation
- The chance of irregular or unusual investment returns, particularly in times of economical crisis
- The likelihood of temporary or permanent loss of capital or income
- The possible lack of liquidity, meaning that in certain market circumstances, it might not be possible to sell a particular investment.

Completing the information and questions in this section will help us assess your risk profile. We have divided the questions into two parts:

- Willingness to accept risk in the portfolio – this is sometimes called your Risk Tolerance
- Your ability to bear loss – this is sometimes referred to as your Risk Capacity and is a function of your broader financial circumstances.

YOUR WILLINGNESS TO ACCEPT RISK

The Quilter Cheviot 'Understanding Your Investment Portfolio' document must be read for further guidance.

Please select the risk category that most closely matches your tolerance to risk and minimum time period for the investment portfolio we will be managing for you. Please tick **one** box only. The tables below provide guidance on the level of equities that would be involved and the range of returns that can be experienced in each of the risk categories.

None

TICK ☐

Estimated range of annualised return*

0%

I/We have no tolerance for risk and regardless of market circumstances, I/We would not be comfortable with any variation or disruption to capital value or current income

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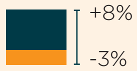
Lower

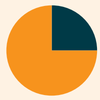
TICK ☐

Estimated range of annualised return*



I/We have a lower tolerance for risk and regardless of market circumstances, I/We would only be comfortable with minimal variation or disruption to capital value or current income

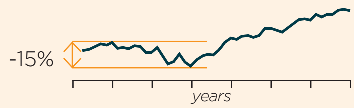
Typical equity weighting – up to 25%



Suggested minimum investment period

1 year

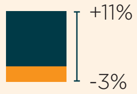
Estimated maximum peak-to-trough decline across investment period*



Lower to Medium

TICK ☐

Estimated range of annualised return*



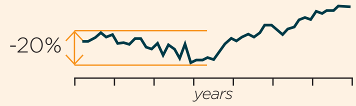
I/We have a lower to medium tolerance for risk, I/We would only be comfortable with modest variation or disruption to capital value or current income

Typical equity weighting – up to 50%

Suggested minimum investment period

3 years

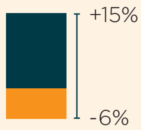
Estimated maximum peak-to-trough decline across investment period*



Medium

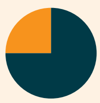
TICK ☐

Estimated range of annualised return*



I/We have a medium tolerance for risk and can accept modest variation or disruption to capital value or current income in order to meet my/our longer-term objectives

Typical equity weighting – up to 75%



Suggested minimum investment period

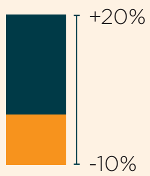
5 years

Estimated maximum peak-to-trough decline across investment period*

Medium to Higher

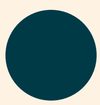
TICK ☐

Estimated range of annualised return*



I/We have a medium to higher tolerance for risk and can accept considerable variation or disruption to capital value or current income in order to meet my/our longer-term objectives

Typical equity weighting – up to 100%



Suggested minimum investment period

5 years

Estimated maximum peak-to-trough decline across investment period*

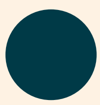
Higher

TICK ☐

Special situations apply to specialist investment instructions where the range and concentration of riskier assets could be significantly increased

I/We have a higher tolerance for risk and can accept considerable variation or disruption to capital value or current income in order to meet my/our longer-term objectives

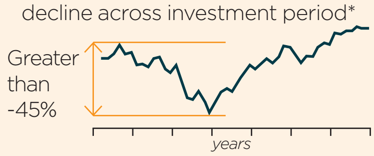
Typical equity weighting – up to 100%



Suggested minimum investment period

7 years

Estimated maximum peak-to-trough decline across investment period*



* Source: Quilter Cheviot. These figures are for illustrative purposes and represent estimated pattern of return for each risk profile. Past performance is not indicative of future performance and actual performance may vary.

YOUR ABILITY TO BEAR LOSS

It is important that we are trying to ascertain your ability to bear investment losses, in the broader context of your overall current financial situation and standard of living.

Please select one of the following which most closely matches your circumstances:

- ☐ **I/we have NO ability to bear investment losses. Any losses to the value of the portfolio would have an unacceptable impact on my/our overall financial position and standard of living.**
- ☐ **I/we have a LOW ability to bear investment losses. In extreme circumstances, falls in the value of the portfolio of up to 20% would not have a material impact on my/our overall financial position and standard of living.**
- ☐ **I/we have a MODERATE ability to bear investment losses. In extreme circumstances, falls in the value of the portfolio of up to 35% would not have a material impact on my/our overall financial position and standard of living.**
- ☐ **I/we have a SIGNIFICANT ability to bear investment losses. In extreme circumstances, falls in the value of the portfolio in excess of 35% would not have a material impact on my/our overall financial position and standard of living.**

POTENTIAL RISK TO YOUR INCOME

Are you intending to withdraw income from this portfolio within the timeframe of your selected risk category?

Yes ☐ No ☐

If yes, please select one option that most closely matches your circumstances:

- ☐ **Your withdrawals from this portfolio are your primary source of income for essential expenditure.**
- ☐ **Your withdrawals from this portfolio will supplement your primary source of income for essential expenditure.**
- ☐ **Your withdrawals will provide income for non-essential expenditure.**
- ☐ **Any withdrawals are surplus to your regular needs for both essential and non-essential expenditure.**

N.B. If your expected withdrawals from the Quilter Cheviot portfolio are required to meet your living costs, we recommend you speak to a financial adviser before engaging us, as our service may not be appropriate.

INVESTMENT RESTRICTIONS

Do you wish to exclude certain investments and/or asset classes for tax or ethical reasons from your portfolio?

Yes ☐ No ☐

If yes, please contact us for our Investment Restrictions supplement.

PART D: ACCOUNT SET-UP

INCOME INSTRUCTIONS

Please note that we can only set up the income payment facility in sterling. Please tick **one** box only from the list below to indicate how you would like us to deal with income generated within your portfolio:

- ☐ Transfer to capital account for re-investment
- ☐ Monthly payments of income received
- ☐ Quarterly payments of income received
- ☐ Quarterly fixed standing order*
- ☐ Retain in your Quilter Cheviot income account
- ☐ Monthly fixed standing order*

*If you have selected a fixed payment please complete the amount field(s) in the next section.

BANK/BUILDING SOCIETY DETAILS

Bank or building society account details are required even if no income is being withdrawn. We can also hold details of additional bank or building society accounts if other payments are anticipated. If this includes HMRC details for tax payments, please include your unique tax payer reference in the account name line. Standing orders for different amounts to different banks or building societies can be arranged if the payment frequency is the same.

Account name:

Sort code: | / | / | Account number:

Building society reference:

* Payment by standing order (if applicable):

£

Account name:

Sort code: | / | / | Account number:

Building society reference:

* Payment by standing order (if applicable):

£

Account name:

Sort code: / /

Account number:

Building society reference:

* Payment by standing order (if applicable):

£

*** If the standing order exceeds the income generated from the portfolio, the capital value will be depleted. Your investment manager will discuss this with you. Payments or asset transfers from your account to third parties are only permitted in limited circumstances. Generally any withdrawals of cash or assets will only be made to a bank or investment account in your own name.**

ANTI-MONEY LAUNDERING VERIFICATION REQUIREMENTS

We are required to verify the identity of all potential clients and their beneficial owners (where applicable). We cannot conduct business with you until this process is complete. For UK resident individuals, we will use the following information to perform electronic identification checks. **For overseas residents, or where the electronic identification check fails, we will ask you for certified copies of identity documentation.**

ORIGINAL SOURCE OF OVERALL WEALTH

Please tick all applicable sources of wealth. Please note that we may ask for evidence of source(s) of wealth in some cases. Please answer for all applicants:

	First applicant	Second applicant
Employment	☐	☐
Investment or savings	☐	☐
Inheritance	☐	☐
Family trust	☐	☐
Business ownership or sale	☐	☐
Property	☐	☐
Gift	☐	☐
Compensation payment	☐	☐
Other	☐	☐

Please give full details for all sources of wealth selected:

- If employment, please state the nature of the business (from which your wealth derives), if this is not your current occupation;
- If inheritance, gift or family trust, please state the full name of the deceased, settlor or donor (as applicable), their relationship to you and their primary source of wealth;
- If sale of business, please specify the details and give name of business, activities and the country of operation;
- If investment or savings please specify details about how these were accumulated;
- If compensation payment please explain the reason for award and where awarded from;
- If your source of wealth derives from any activities abroad, please state which country(ies).
- If your source of wealth is 'other' please provide full details.

FUNDS FOR INVESTMENT

Please indicate amount to be invested in this portfolio:

£

Please describe the source or origin of the funds being invested with Quilter Cheviot. Please note that we may ask for evidence of source of funds in some cases.

If significant additions or withdrawals are anticipated, please inform your investment manager as this may affect the way in which we manage the portfolio.

FIRST APPLICANT

Previous surname if changed, or any alias that has ever been used:

Previous residential address, if less than 1 year at current address (we are unable to accept a 'care of' or post box):

Postcode:

Please provide the following details:

Full passport reference (this is at the very bottom of the photo page):

/ /

/ /

/

Date of expiry:

DD MM YYYY

Alternatively, if you are a UK or Irish national (and do not hold dual nationality) we can accept details of your driving licence:

Driving licence number:

/ /

/

Date of expiry – photocard:

DD MM YYYY

TAX INFORMATION

National Insurance number:

/ /

and/or other country(ies) of tax residence (this information must be provided if you have dual nationality or are not a UK or Irish national):

Country:	Tax identification number:

Are you UK domiciled?

Yes ☐ No ☐

If not UK domiciled, please give details:

Are you a US citizen, a US resident, the holder of a US passport, Green Card, or US bank account?

Yes* ☐ No ☐

*If you have ticked yes, you will need to complete an IRS (Internal Revenue Service) form W9 which your investment manager can provide on request.

SECOND APPLICANT

Previous surname if changed, or any alias that has ever been used:

Previous residential address, if less than 1 year at current address (we are unable to accept a 'care of' or post box):

Postcode:

Please provide the following details:

Full passport reference (this is at the very bottom of the photo page):

/ /

/ /

/

Date of expiry:

DD MM YYYY

Alternatively, if you are a UK or Irish national (and do not hold dual nationality) we can accept details of your driving licence:

Driving licence number:

/ /

/

Date of expiry – photocard:

DD MM YYYY

TAX INFORMATION

National Insurance number:

| / | / |

and/or other country(ies) of tax residence (this information must be provided if you have dual nationality or are not a UK or Irish national):

Country:	Tax identification number:

Are you UK domiciled?

Yes ☐ No ☐

If not UK domiciled, please give details:

Are you a US citizen, a US resident, the holder of a US passport, Green Card, or US bank account?

Yes* ☐ No ☐

*If you have ticked yes, you will need to complete an IRS (Internal Revenue Service) form W9 which your investment manager can provide on request.

PART E:

THIS SECTION SHOULD ONLY BE COMPLETED IF YOU WISH TO GIVE OTHERS AUTHORITY OVER YOUR ACCOUNT OR PERMIT TRANSFERS TO ANOTHER ACCOUNT.

INTERNAL TRANSFERS BETWEEN ACCOUNTS

We can arrange transfers between accounts held at Quilter Cheviot. Cash can only be transferred to an account in your name or that of your spouse. If transfers of cash or assets are required from this Quilter Cheviot account, without further written authority, please give details:

Account name:

Client code (if known):

Cash ☐ Assets ☐ Cash & Assets ☐

Account name:

Client code (if known):

Cash ☐ Assets ☐ Cash & Assets ☐

Account name:

Client code (if known):

Cash ☐ Assets ☐ Cash & Assets ☐

FINANCIAL ADVISER

If you have a financial adviser, please complete their details below.

Name:

Name of organisation:

Address:

Postcode:

Telephone number:

FCA registration number (if known):

Financial adviser email address (if known):

Please note that it is our standard practice to grant online access to the organisation named above so that your financial adviser can view your portfolio(s) via our online portal. Such access may be granted to any individual adviser named above as well as other staff at their organisation who assist in the provision of their service to you so may include support and administrative staff and/or other regulated advisers. If you have any questions about this please contact your Investment Manager.

If you agree, we can accept instructions from your named financial adviser (where applicable) to make a payment to one of your nominated bank accounts (or to HMRC). We may also accept instructions from support and administrative staff or other regulated advisers working for the same organisation as your named financial adviser to make payments to one of your nominated bank accounts or to HMRC. Please tick below if you would like to grant this authority to your financial adviser and other staff at the organisation named above: ☐

Please tick below if you would like us to send your financial adviser copies of the following:

☐ Quarterly Investment report

☐ Tax Pack

OTHER ADVISER

If you would like us to provide information to a professional or individual who is not a financial adviser, please enter their details below.

Please note that if you want to authorise another individual to give instructions on your account, please complete the section on third-party authority.

Name:

Name of organisation (if applicable) or relationship to you:

Address:

Postcode:

Adviser email address (if known):

Please tick if you would like your adviser to receive the following:

☐ Investment reports, valuations and transaction reports

☐ Annual tax report

THIRD-PARTY AUTHORITY

If you already have a Power of Attorney in place which gives the powers noted below, please ask your attorney or other third party to complete their details below and sign the acceptance on page 17.

If you would like a third party, who is not your attorney to have authority over your account, please complete the following statement:

I hereby authorise (full name of individual):

to: give investment instructions on my behalf including the transfer of any cash from my account to a bank account in my name;
have access to the online information relating to my account; and
sign, execute and issue all documents and take any steps or do anything which they consider necessary and appropriate in connection with my account.

Please ask the individual authorised above to complete their details below and sign the acceptance on page 17.

We are required to verify the identity of all potential clients and their beneficial owners (where applicable). We cannot conduct business with you until this process is complete. For UK resident individuals, we will use the following information to perform electronic identification checks. **For overseas residents, or where the electronic identification check fails, we will ask you for certified copies of identity documentation.**

Previous surname if changed, or any alias that has ever been used:

Date of birth:

DD | MM | YYYY

Permanent residential address, if this differs to the main applicant (we are unable to accept a 'care of' or post box):

Postcode:

Previous residential address, if less than 1 year at current address (we are unable to accept a 'care of' or post box):

Postcode:

Please provide the following details:

Full passport reference (this is at the very bottom of the photo page):

Date of expiry:

DD | MM | YYYY

Alternatively, if you are a UK or Irish national (and do not hold dual nationality) we can accept details of your driving licence:

Driving licence number:

Date of expiry – photocard:

DD | MM | YYYY

EMPLOYMENT AND BUSINESS INTERESTS

If you are employed in any capacity please give details below. Otherwise, please indicate your previous occupation or state if you have not been employed previously.

Are you retired from all employment activities (including consultancy)?

Yes ☐ No ☐

Are you a director or significant senior manager of a Public Limited Company?

Yes ☐ No ☐

If yes, list which company(ies) and company(ies) positions:

Are you or have you ever been employed in the financial services industry?

Yes ☐ No ☐

If yes, please provide details:

Are you an individual, in the UK or abroad, who has held a prominent public function (for example senior politician, senior government, judicial or military official, senior executive of state owned corporation, important political party official). Or have you ever been connected, directly or indirectly (for example by blood, marriage or business/financial link) to such an individual?

Yes ☐ No ☐

If yes, please state their position and/or connection:

Does your employer (if any) need to receive contract notes?

Yes ☐ No ☐

If yes, please provide details:

TAX INFORMATION

National Insurance number:

☐☐ / ☐☐☐☐☐☐ / ☐

and/or other country(ies) of tax residence (this information must be provided if you have dual nationality or are not a UK or Irish national):

Country:	Tax identification number:

Are you UK domiciled?

Yes ☐ No ☐

If not UK domiciled, please give details:

Are you a US citizen, a US resident, the holder of a US passport, Green Card, or US bank account?

Yes* ☐ No ☐

*If you have ticked yes, you will need to complete an IRS (Internal Revenue Service) form W9 which your investment manager can provide on request.

INVESTMENT EXPERIENCE

Your answers to these questions will enable us to determine your familiarity with particular types of services and investment matters relevant to our services, and the associated risks. Please refer to the risk warnings outlined in Annex 1 of our terms and conditions booklet (or on our website **https://www.quiltercheviot.com/risk-factors**), for further explanation.

Please indicate the level of experience and understanding you have of investment matters by providing the following information.

For trustees and authorised signatories, please give the following information, based on your collective experience.

Relevant Experience

Please indicate how long you have previously held an investment portfolio and the type of services you received:

This is a first time investment ☐

	Discretionary Service	Advisory Service	Execution Only
Under 5 Years	☐	☐	☐
5 to 10 Years	☐	☐	☐
Over 10 Years	☐	☐	☐

If Discretionary, did the service you used provide a central model?

Yes ☐ No ☐ Unsure ☐

Relevant Investments

Please tick which of the following investments you consider yourself to be familiar with from your previous investment experience:

☐ Government/Corporate bonds
☐ Quoted equities
☐ Unit Trusts/Open Ended Investment Companies or SICAV
☐ Venture Capital/Private equity
☐ Structured products
☐ Unquoted investments
☐ Unregulated collective investments
☐ Unregulated hedge funds

Do you have experience using derivatives (including options) warrants, leveraged or unregulated investment products?

Yes ☐ No ☐

If yes, please give average value, frequency, period and reason (e.g. hedging or speculation):

Please indicate any relevant education:

For **Advisory and Execution Only services**, please indicate the average value, frequency, and period for your transactions.

Size of transaction:

☐ Under £1,000
☐ £1,000-£9,999
☐ £10,000-£49,999
☐ £50,000 and over

Frequency of transaction:

☐ Weekly
☐ Monthly or 12 per year
☐ Less than 12 transactions per year

SPECIAL CATEGORY DATA

In any contact we have with you it is possible that you may disclose sensitive information to us that is described as Special Category Data (SCD) under the General Data Protection Regulation. For us to be able to capture this data and then process it to make investment decisions or otherwise manage your account in your best interest we need your explicit consent. We will not specifically ask you about all the types of SCD described below but, if you think any of them are relevant to the investment decisions we make on your behalf, then it is in your interests to inform us.

What is SCD?

SCD is more sensitive personal information about an individual; for example their race or ethnic origin, political opinions, religious or philosophical beliefs, health, trade union membership, genetics and biometrics.

We will only process SCD that you tell us about and, only then, if we believe it is relevant to the services we provide to you.

What categories of SCD do we collect?

The types of SCD that we are most likely to collect from you are listed below. We only collect this information to tailor your investment portfolio to your specific requirements (if any) or to otherwise provide our services to you as agreed. We may collect:

- information about your health; and
- information that may identify your philosophical beliefs, for example if you wish to exclude investments on ethical grounds.

Why do we collect this data?

We collect this information to ensure that we provide you with an investment service that meets your specific requirements and is most appropriate for your individual circumstances.

How do we collect the data?

When we first meet you, we will carry out a full fact-find and collect personal data that may include some SCD (as described above). We may also collect SCD during any regular review meetings or when you complete one of our application forms.

Your consent

You can withdraw your consent at any time, but if you do so, we may not be able to continue to provide you with an investment service that meets your specific requirements.

ACCEPTANCE AND SIGNATURE

Please complete, sign and date the boxes to the right to:

1) confirm that you agree to this application form, our terms and conditions, risk disclosures, schedule of charges and costs and charges information and (if you have a Quilter Cheviot ISA) our ISA Terms and Conditions (Agreement);

2) give your consent to our order execution policy and list of execution venues, and to Quilter Cheviot (or an affiliate) effecting transactions on your behalf outside a regulated market, multilateral trading facility or organised trading facility; and

3) give your consent to us sending notices (such as changing our terms and conditions) electronically, such as by an e mail attaching a document or linking to our website.

☐ Please tick here to confirm you have received and read the Quilter Cheviot 'Understanding Your Investment Portfolio' document.

☐ By ticking this box you consent to us collecting, processing and storing Special Category Data about you as described in this form.

FIRST APPLICANT ACCEPTANCE OF AGREEMENT

Signed:

Date: DD MM YYYY

Print name:

SECOND APPLICANT ACCEPTANCE OF AGREEMENT

Signed:

Date: DD MM YYYY

Print name:

THIRD PARTY ACCEPTANCE OF AGREEMENT

Signed:

Date: DD MM YYYY

Print name:

QUILTER CHEVIOT

Senator House
85 Queen Victoria Street
London EC4V 4AB

t: +44 (0)20 7150 4000
w: quiltercheviot.com

QC501 (05/2021)

GUIDANCE NOTES FOR CERTIFICATION OF DOCUMENTS

Certification of copy documents can be undertaken by the following:

UK/Overseas Solicitor

Notary Public

Commissioner for Oaths

UK Barrister (NOT Judge)

UK Licensed Conveyancer

UK Legal Executive

UK/Overseas Certified or Chartered Accountant

Bank Manager

Authorised financial adviser

Authorised mortgage broker

Embassy, Consulate or High Commission of the country of issue for non-UK nationals

Quilter Cheviot Staff (in the ordinary course of business)

A suitable certifier of documents should be either a FCA approved person or a member of a professional body that is recognised by the Money Laundering Regulations 2007. Please note that any documentation certified by someone other than those listed above will be rejected and you will be asked to re-submit properly certified documentation. Copy documents that are not legible will also be rejected.

All documents must be certified as follows: *"I hereby certify this is a true copy of the original as seen by me (name) on (date) [and that it bears a true likeness of the person described therein]"*

Please add the words in square brackets where the document includes a photograph of the individual.

Alternative wording that covers all the above will be acceptable.

The certification must be given by a named individual, who can be contacted about the document should it become necessary. Therefore a certification the name of a firm is not acceptable. The person undertaking the certification must be currently employed in the position stated, and the following information **must** be clear from the certification given:

Their name;

Their title;

Their occupation;

The date of certification; and

Their contact details.

Please note that the wet signature of the person undertaking the certification is required on certified copy documents. Photocopies of certified copy documents will be rejected.

YOUR DETAILS

Title:

Surname:

Forename(s):

Permanent residential address (we are unable to accept a 'care of' or post box):

Postcode:

National Insurance Number

/ /

If you do not have a National Insurance Number, tick here ☐

Date of birth:

DD MM YYYY

SUBSCRIPTION DETAILS

I apply for a stocks and shares ISA for tax year

20___ /20___ and each subsequent year until further notice.

Please transfer the maximum allowable subscription into my Quilter Cheviot Stocks and Shares ISA. This will be the full ISA subscription limit available per tax year unless I notify you that I have subscribed to (or intend to subscribe to) another type of ISA elsewhere, or wish to subscribe a reduced amount.

Subscription: £

plus 0.5% ISA Initial charge (plus VAT).

For example, if this was £20,000, the total cost of this subscription will be £20,120 (£20,000 subscription, plus 0.5% ISA initial charge of £100 and £20 VAT).

Please indicate method of payment:

☐ Please debit my Quilter Cheviot account

☐ By electronic transfer

If you wish to transfer an Additional Permitted Subscription, please ask for the relevant forms.

INCOME INSTRUCTIONS

Please select below what you would like to do with income from your ISA:

☐ Paid into your bank account ☐ Re-invested

COSTS AND CHARGES

ISA subscriptions equivalent in value to the annual tax free exemption will be subject to a 0.50% (plus VAT) administration charge regardless of whether such subscriptions represent new funds added to the ISA or the replacement of funds previously withdrawn in the same tax year under the Flexible ISA rules. Other charges will be shown on the Schedule of Charges provided to you.

DECLARATION AND AUTHORISATION

Please complete, sign and date the box below to: (1) acknowledge receipt of, and confirm that you agree to our Terms and Conditions, risk disclosures, Schedule of Charges, and our ISA Terms and Conditions; (2) give your consent to our order execution policy and list of execution venues, and to Quilter Cheviot (or an affiliate) effecting transactions on your behalf outside a regulated market, multilateral trading facility or organised trading facility; and (3) confirm your agreement to the following declarations and give us the necessary authorities to manage your ISA.

I declare that:

(i) all subscriptions made, and to be made, belong to me;

(ii) I am 18 years of age or over;

(iii) I have not subscribed and will not subscribe more than the overall subscription limit in total to any combination of permitted ISAs in the same tax year;

(iv) I have not subscribed, and will not subscribe, to another Stocks and Shares ISA in the same tax year that I subscribe to this Stocks and Shares ISA; and

(v) I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Quilter Cheviot if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

I authorise Quilter Cheviot:

(i) to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash;

(ii) to make on my behalf any claims to relief from tax in respect of ISA investments; and

(iii) on my written request to transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

I understand that tax rates and reliefs which are applicable at the time of this application may be subject to change and therefore the expected benefits from the Stocks and Shares ISA may vary depending on my individual circumstances.

Signed:

Date:

DD MM YYYY

INTERNAL USE ONLY

Client account reference: .... IM reference: ....

PLEASE COMPLETE AND SIGN THIS FORM TO TRANSFER AN EXISTING ISA. AS A SEPARATE TRANSFER INSTRUCTION IS REQUIRED FOR EACH ISA YOU WANT TO TRANSFER, PLEASE ASK FOR ADDITIONAL FORMS OR PRINT MULTIPLE COPIES OF THIS PAGE IF NECESSARY.

YOUR DETAILS

Title:

Surname:

Forename(s):

Permanent residential address (we are unable to accept a 'care of' or post box):

Postcode:

National Insurance Number

/ /

If you do not have a National Insurance Number, tick here ☐

Date of birth:

DD MM YYYY

INSTRUCTIONS TO CURRENT ISA MANAGER

I wish to transfer my current ISA to a Quilter Cheviot Flexible Stocks and Shares ISA and authorise you to provide Quilter Cheviot with all relevant information requested by them and/or as required under HMRC ISA regulations.

DETAILS OF ISA TO BE TRANSFERRED TO QUILTER CHEVIOT

Firm name:

Account number/reference:

Type of ISA: ☐ Stocks and Shares ☐ Cash ☐ Other

Before transferring a Cash ISA to a Stocks and Shares ISA, please consider the following:

Cash ISAs offer little or no risk to the capital subscribed whereas the value of investments in a Stocks and Shares ISA and any income can fall as well as rise. You might not get back the original amount invested.

Please choose one of the following:

☐ I wish to transfer my ISA in its entirety:
The approximate value is:

£

Or

☐ I wish to make a partial transfer* of my ISA:
The amount I wish to transfer is:

£

* Please note that partial ISA transfers are only allowed for subscriptions made in previous tax years.

FOR STOCKS AND SHARES ISAs ONLY

Please choose one of the following:

☐ Please transfer my holdings in specie (unless your terms do not allow this, in which case please sell the holdings and transfer the proceeds) together with any cash balances.

Or

☐ Please sell the holdings and transfer the total cash balance.

I hereby request and authorise you to transfer my existing ISA managed by you (as described opposite) to Quilter Cheviot Limited and request that you provide them with all relevant information requested by them and/or as is required under HMRC ISA regulations.

Signed:

Date:

DD MM YYYY

QUILTER CHEVIOT

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London EC4V 4AB

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