



APPLICATION FORM

MANAGED PORTFOLIO SERVICE

PERSONAL PENSION INCLUDING SIPP

FOR CLIENTS OF FINANCIAL ADVISERS



QUILTER CHEVIOT
INVESTMENT MANAGEMENT



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. Your financial adviser will make the selection of strategy based on your financial circumstances, your aims, risk

tolerance and your capacity to cope with a loss on the investment.

If your circumstances change, you should inform your financial adviser who may need to alter the strategy selected.

Managed Portfolio Service (MPS)

Our Managed Portfolio Service (MPS) offers you the choice of a limited number of predefined investment strategies. We undertake the investment transactions within these strategies without prior reference to you.

Our MPS does not take unrealised capital gains into account when making changes to client portfolios. This means that for portfolios which are subject to capital gains tax (CGT), there may be occasions when realised gains are in excess of your Annual Exempt Amount, which may result in you having to pay CGT. The minimum investment amount for our MPS is £25,000. If the value of your portfolio falls below this minimum threshold it may not be possible to align your portfolio to the agreed strategy meaning that our ability to manage your portfolio to the agreed mandate may also be impacted.

The member (and pension adviser where applicable) should complete pages 1 to 6 of this form and sign page 11.

The scheme administrator and trustee should complete page 9.

PENSION PROVIDER

MEMBER'S NAME

Title:

Surname:

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

Forename(s):

PROVIDER REFERENCE

PART A: MEMBER'S PERSONAL DETAILS

PERSONAL DETAILS

If this application is for a joint Self Invested Personal Pension (SIPP), please complete separate forms for each Member.

Title:

Surname:

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

Forename(s):

Date of birth:

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.

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:

YOUR PENSION ADVISER

Contact name:

Name of organisation:

FCA reference number (if applicable):

Address:

Postcode:

Telephone:

Email:

Can we take investment instructions from your pension adviser?

Yes No

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.

PART B: DETAILS OF YOUR PENSION FUND

DETAILS OF YOUR PENSION FUND(S)

This section can be answered by your pension adviser

Please indicate the amount being invested into the pension with Quilter Cheviot:

£

Are you making or do you plan to make additional contributions into this pension?

Yes No

If yes, how much each year?

£

Please indicate the origin of the funds in this personal pension: **tick all that apply**

- Company DC scheme
- Other SIPP or personal pension
- Company or personal contributions directly into the personal pension
- Defined Benefit scheme

If Defined Benefit scheme, approximately what percentage of the total value?

%

What is the approximate combined value of your invested pension funds?

£

If you are a member of a defined benefit scheme, please give the estimated value of your pension at retirement:

£

What percentage of your overall retirement income do you expect this pension to provide?

%

If you have not yet taken any benefits from your pension, when do you intend to take the pension commencement payment ("tax free cash")?

DD MM YYYY

How do you anticipate taking income from this fund?
(please tick **all** that apply)

Buying an annuity/secured income

When are you likely to buy an annuity?

Take a pension commencement payment, then regular income drawdown

Take a pension commencement payment, then irregular income drawdown (please give as much detail as possible in the box below)

Take regular withdrawals to include pension commencement sum (“tax free cash”)

Take irregular withdrawals to include “tax free cash” (please give as much detail as possible in the box below)

Additional information:

If known, what is the anticipated annual pension withdrawal?

£ or %

Are there any other considerations we should be aware of that are relevant to managing this pension?

If in pension withdrawal, when is the next formal review of the pension?

PART C: INVESTMENT STRATEGY

EXPLANATION OF MANAGED PORTFOLIO SERVICE (MPS) STRATEGIES

Your financial adviser is responsible for selecting a suitable MPS Strategy to meet your individual circumstances and objectives. Please note that whilst Quilter Cheviot is responsible for managing your chosen MPS Strategy in accordance with the investment objectives and risk definitions as described below, your financial adviser will have an ongoing responsibility to ensure the Strategy continues to meet your individual circumstances and objectives.

Please note, the MPS does not take unrealised capital gains into account when changes are made to the portfolios. This means there may be occasions when realised gains are in excess of the Annual Exemption.

MPS Global Growth

The investment objective is to grow the capital value of the portfolio. The Quilter Cheviot MPS Global Growth Strategy is designed for an investor with a time horizon of more than 7 years, and a higher tolerance for risk that can accept significant variation or disruption to capital value or current income in order to achieve their longer-term objective.

The Quilter Cheviot MPS Global Growth Strategy is a diversified portfolio comprising predominantly international and domestic equity funds as well as some exposure to funds investing in alternative assets. This means there is limited scope for diversification across asset classes, although the investments will be spread across sectors. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered higher risk.

MPS Growth

The investment objective is to grow the capital value of the portfolio as well as to generate some degree of income. The Quilter Cheviot MPS Growth Strategy is designed for an investor with a time horizon of more than 5 years, and a medium to higher tolerance for risk that can accept significant variation or disruption to capital value or current income in order to achieve their longer-term objective.

The Quilter Cheviot MPS Growth Strategy is a diversified portfolio comprising predominantly domestic and international equity funds with a small exposure to fixed interest funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered medium-higher risk.

MPS Balanced

The investment objective is to grow the capital value of the portfolio as well as to generate some degree of income. The Quilter Cheviot MPS Balanced Strategy is designed for an investor with a time horizon of more than 5 years, and a medium tolerance for risk that can accept moderate variation or disruption to capital value or current income in order to achieve their longer-term objective.

The Quilter Cheviot MPS Balanced Strategy is a diversified portfolio comprising predominantly domestic and international equity funds as well as some exposure to fixed interest funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered medium risk.

MPS Global Income

The investment objective is to grow the capital value of the portfolio as well as to generate some degree of income. The Quilter Cheviot MPS Global Income Strategy is designed for an investor with a time horizon of more than 5 years, and a medium tolerance for risk that can accept moderate variation or disruption to capital value or current income in order to achieve their longer-term objective.

The Quilter Cheviot MPS Global Income Strategy is a diversified portfolio comprising predominantly international equity funds as well as some exposure to domestic equity and fixed interest funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered medium risk.

MPS Income

The investment objective is to grow the capital value of the portfolio as well as to generate some degree of income. The Quilter Cheviot MPS Income Strategy is designed for an investor with a time horizon of more than 5 years, and a medium tolerance for risk that can accept moderate variation or disruption to capital value or current income in order to achieve their longer-term objective.

The Quilter Cheviot MPS Income Strategy is a diversified portfolio comprising predominantly domestic and international equity funds as well as some exposure to fixed interest funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered medium risk.

MPS Conservative

The investment objective is to grow the capital value of the portfolio as well as to generate some degree of income. The Quilter Cheviot MPS Conservative Strategy is designed for an investor with a time horizon of more than 3 years, and a lower to medium tolerance for risk that can only accept moderate variation or disruption to capital value or current income.

The Quilter Cheviot MPS Conservative Strategy is a diversified portfolio comprising predominantly fixed interest funds as well as some exposure to domestic and international equity funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered lower-medium risk.

MPS Cautious

The investment objective is to generate a return from the income from the portfolio. The Quilter Cheviot MPS Cautious Strategy is designed for an investor with a time horizon of more than 1 year, and a lower tolerance for risk that regardless of market conditions would only be comfortable with minimal variation or disruption to capital value or income.

The Quilter Cheviot MPS Cautious Strategy is a diversified portfolio comprising predominantly fixed interest funds with a small exposure to domestic equity funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered lower risk.

RISK DEFINITIONS

Your overall financial circumstances will principally determine your capacity for risk and you may have to accept more risk than you initially anticipate in order to achieve your long-term objective. Your capacity for risk means your ability to absorb falls in the value of your investments. All investments involve an element of risk to capital and/or income and there will also be periods when the short-term return differs from the long-term objective.

Lower

I/we have a low 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.

Lower to Medium

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

Medium

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

Medium to Higher

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

Higher

I/we have a high tolerance for risk and can accept significant variation or disruption to capital value or current income in order to meet my/our longer-term objectives.

ACCOUNT STRATEGY

Please select your chosen strategy.

OUR MPS STRATEGIES

These strategies invest predominantly in “active” funds, and seek to generate outperformance through our tactical asset allocation and manager selection decisions.

- | | | | |
|---------------|--------------------------|--------------|--------------------------|
| Global Growth | <input type="checkbox"/> | Income | <input type="checkbox"/> |
| Growth | <input type="checkbox"/> | Conservative | <input type="checkbox"/> |
| Balanced | <input type="checkbox"/> | Cautious | <input type="checkbox"/> |
| Global Income | <input type="checkbox"/> | | |

OUR IDX STRATEGIES

These strategies invest predominantly in “passive” funds, and seek to generate outperformance principally (though not entirely) through our tactical asset allocation decisions

- IDX Growth
- IDX Balanced
- IDX Income
- IDX Conservative

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.**

MEMBER’S DETAILS

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):

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

Date of expiry:

<input type="text"/>	<input type="text"/>	<input type="text"/>
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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:

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

Date of expiry - photocard:

<input type="text"/>	<input type="text"/>	<input type="text"/>
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ORIGINAL SOURCE OF OVERALL WEALTH & SOURCE OF FUNDS

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

	Overall wealth	Source of funds for this investment
Employment*	<input type="checkbox"/>	<input type="checkbox"/>
Investment or savings	<input type="checkbox"/>	<input type="checkbox"/>
Inheritance**	<input type="checkbox"/>	<input type="checkbox"/>
Family trust**	<input type="checkbox"/>	<input type="checkbox"/>
Business ownership or sale***	<input type="checkbox"/>	<input type="checkbox"/>
Property	<input type="checkbox"/>	<input type="checkbox"/>
Other***	<input type="checkbox"/>	<input type="checkbox"/>

*If employment, please state the nature of the business (from which your wealth derives), if this is not your current occupation:

**If inheritance 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 this source of wealth derives from any activities abroad, please state which country(ies):

***If sale of business or other, please specify the details and give name of business, activities and the country of operation:

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.

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.

To be completed by the scheme administrator and trustee unless we have an agreement to receive these details by alternative means.

TRUSTEES' DETAILS

Pension trustee(s) name:

Contact name:

Full postal address:

 Postcode:

Telephone:

Fax:

Email:

Member trustee name (where applicable):

HMRC Scheme approval number:

FCA Reference:

SCHEME ADMINISTRATOR

Full name of pension administrator:

Contact name:

Full postal address:

 Postcode:

Telephone:

Fax:

Email:

PENSION BANK ACCOUNT AND INCOME INSTRUCTIONS

Account name:

Sort code:

 / /

Account number:

Reference:

For accounts not in drawdown, the portfolio income is transferred to the capital account for re-investment on a monthly basis. Where income is to be paid to the above bank or building society account, please confirm amount of standing order.

Monthly standing order of: or quarterly standing order of:

£

£

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
(to be signed by the trustee)**

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, interest information, sundry charges information and schedule of charges, 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 email attaching a document or linking to our website

Where there is more than one contributor to the scheme, we confirm that the identity and source of funds of each contributor have been verified by us.

Furthermore, we give authority on an ongoing basis to the member (as our agent in respect of this account) to:

- (a) provide you with information regarding his/her personal details and interests;
- (b) agree the investment objective, risk preference and any investment restrictions applicable to the account;
- (c) give instructions provided that they are consistent with the investment guidelines that we have prescribed in relation to the account; and
- (d) elect to receive internet access and various reports for either him or herself and/or his/her adviser, as noted on page 4.

Subject to the above, we specifically agree that in the event of any inconsistency between the information or instructions provided by us and by the member, the information or instructions provided by the member shall prevail. To the best of our knowledge the information provided in this form by the member and his/her adviser is complete and accurate in all respects.

**ACCEPTANCE ON BEHALF OF TRUSTEE(S)/
INSURANCE COMPANY**



Signatory 1:

Date:

DD	MM	YYYY
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Name capacity/position:



Signatory 2:

Date:

DD	MM	YYYY
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Name capacity/position:

**MEMBER’S ACCEPTANCE AND SIGNATURE
(to be signed by the member)**

Please complete, sign and date the boxes below to:

- (1) confirm that you agree to this application form, our terms and conditions, risk disclosures, schedule of charges and costs and charges information;
- (2) acknowledge receipt of a copy of the Quilter Cheviot terms and conditions and risk disclosures;
- (3) give consent to us sending notices (such as changing our terms and conditions) electronically such as by an email attaching a document or linking to our website;
- (4) agree to the terms of online access as detailed in the Quilter Cheviot terms and conditions; and
- (5) authorise Quilter Cheviot to obtain relevant financial details from my pension adviser.

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.

If you are also a trustee of this pension, please also sign the trustee acceptance.



Signed:

Date:

DD	MM	YYYY
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Print name:

QUILTER CHEVIOT

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