

# Opening your corporate account with us

Managed Portfolio Service where your financial adviser selects your investment strategy

VISION | IFP

Thank you for choosing to open a corporate account with us. Please carefully read and complete all the relevant sections, and if you have any questions please ask your investment manager or financial adviser for further information and guidance.

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.

## How to complete your form

If you would like this form in a more accessible format, please do let your investment team know.

### Required sections to complete:

To open your account with us, please then complete the following 9 sections:

1. About the Company
2. Source of Wealth
3. Associated party details
4. Sharing the account information
5. Investment Strategy and Income preferences
6. Fees and Charges
7. Your Consent and and Signature
8. FATCA Questionnaire
9. Beneficial ownership form

We have also included a helpful information sheet for you, including the schedule of charges, see page 19-22.

### Optional sections:

#### Legal entity identifier request form

Please only complete this if you don't have a LEI number and you need us to apply for one.

#### Transfer an account

Please only complete this form if you would like to transfer a corporate account to us.



**Note:** You will find helpful information in these yellow boxes, so please read them carefully.

Optional sections will have a dashed border, so only complete them if they are relevant to you.

## How to return your completed form



**Email:** Simply scan your completed forms, or attach the PDF, and email them to your investment manager or financial adviser.



**Post:** To your investment manager at your local Quilter Cheviot office or financial adviser.

# Confirming your investment service

## Managed Portfolio Service (MPS)

The Managed Portfolio Service (MPS) offers a number of predefined investment strategies. MPS strategies are invested into collective funds, some of which are managed by Quilter Cheviot. As a discretionary service 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 £20,000. 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.

## 1. How to verify your identity

At Quilter Cheviot, we ensure that our process complies with anti-money laundering regulations. This means that we need to verify your identity as well as any potential beneficial owners before we proceed with opening your account.

### I am a UK resident

We use the information you provide us with in this form to perform electronic identification checks.



### I am an overseas resident

Please send us certified copies of your identity documents. We have outlined how to do this on Page 21.

## 2. How to verify your company

Please follow the instructions on Page 22 to help us to verify the identity of all parties involved in the trust you are opening with us.

# 1. About the Company

Corporate/Partnership/club/friendly (or other) society details

Full registered name

Type of account

☐ Commercial Entity

☐ Personal Investment Holding Company

☐ Other

If other please specify

Nature of business/activities

If registered with a financial services regulator please provide the reference number

Location of activities if not the UK

Are there any overseas offices?

☐ Yes

☐ No

If you answered 'Yes' above, please give details.

Registration number

Country of incorporation

Date of incorporation

/

/

Registered address

Postcode:

Telephone

Operating address (if different)

Postcode:

# 1. About the Company

Principle shareholders

	%
	%
	%
	%

Please give the full name of the beneficial owner(s)


## Principle correspondence details



**Note:** Please fill out this section to let us know where we should send our correspondence to. This will include an investment report that includes a valuation, performance summary, transaction schedule, capital and income statements, a tax pack and any ad hoc correspondence. We will also provide you with online access to our portal.

Principle correspondent name

--

Principle correspondence address

Postcode:

Email address

--

Phone numbers

Mobile:
Home:

# 1. About the Company

## Legal Entity Identifier



**Note:** If A Legal Entity Identifier (LEI) is a unique global identifier for legal entities participating in financial transactions. You can find your 20-digit LEI code (or LEI number) on [www.gleif.org](http://www.gleif.org). It is important to note that without an LEI, we will not be able to perform any trading on your account.

Do you have a Legal Entity Identifier (LEI) code?

If yes, please provide it here

If no, please indicate if you want us to apply for an LEI code on your behalf:

☐

Yes

☐

No

☐

Yes - Please complete pages 34 and 35.

☐

No - Please advise us in writing of the LEI when you have obtained it.

Please refer to our website for the costs involved. We may require additional information to complete or renew the LEI application.

## Funds for investment

What is the amount you would like to invest in this portfolio?

£

Please describe the specific activity that generated the funds being invested with Quilter Cheviot.

Which country and financial institution are the monies/assets being transferred from?

Are the funds/assets coming from an account in the name of the entity?

☐

Yes

☐

No

For an offshore company/onshore company owned by an offshore entity, please complete all of the following boxes:  
Does the company form part of a multi-layered structure of ownership?

☐

Yes

☐

No

Reason(s) for using an offshore company

# 1. About the Company

Describe briefly how the asset contributor(s) derived their wealth (including occupation/business and geographical locations, where applicable).

Reason for using a legal structure to hold investments/assets:

Can the company issue bearer shares?

☐ Yes ☐ No

Are there any bearer shares in issue?

☐ Yes ☐ No

## 2. Source of Wealth

For personal investment companies only

✓ - 2 - 3 - 4 - 5 - 6 - 7

Please tick all that apply and complete the additional information for each option that is ticked. We might ask for evidence of source(s) of wealth in some cases.



### Note:

**If you select 'Employment'**, please state the nature of the business. If you own a business in which you work, please provide the name of the business. If you are retired or are currently not working, please let us know what your previous occupation was.

**If you select 'Inheritance', 'Gift', or 'Family Trust'**, please state the full name of the person you inherited from, the settlor, or the donor (as applicable), their relationship to you, and their primary source of wealth. If their wealth was primarily from their occupation, please provide us with what this is or was.

**If you select 'Sale of Business'**, please tell us the details of the sale, the name of the business, its activities and the country of operation.

**If you select 'Property'** please specify the property income and whether this is within the UK or abroad.

**If you select 'Investment or savings'**, please tell us more about how you acquired and accumulated this wealth.

**If you select 'Compensation payment'**, please provide us with the reason for this compensation and where you received it from.

**If you select 'Winnings from betting/lottery', 'Cryptocurrency' or 'Other'**, please give us as much information about this as you can.

**If your source of wealth derives from any activities abroad** please state the nature of the activities and in which country(ies).

Please use the instructions above to complete this section.

### 1. Please tick all the relevant sources of your wealth:

- |                               |                       |   |
|-------------------------------|-----------------------|---|
| Employment                    | <input type="radio"/> | → |
| Inheritance                   | <input type="radio"/> | → |
| Gift                          | <input type="radio"/> | → |
| Family trust                  | <input type="radio"/> | → |
| Business ownership or sale    | <input type="radio"/> | → |
| Property                      | <input type="radio"/> | → |
| Investment or savings         | <input type="radio"/> | → |
| Compensation payment          | <input type="radio"/> | → |
| Winnings from betting/lottery | <input type="radio"/> | → |
| Cryptocurrency                | <input type="radio"/> | → |
| Other                         | <input type="radio"/> | → |

### 2. Please give additional information for each source of your wealth:

### 3. Associated party details

✓ - ✓ - 3 - 4 - 5 - 6 - 7

We are required to verify the identity of those in control of a corporate entity or partnership. Please provide the details of anyone who is:

- A director of the company who will either sign this form or be giving us instructions
- A shareholder of the company with 25% or more of the voting rights
- Any other person that has significant influence or control over the company or partnership
- A partner of the partnership who will either sign this form or be giving us instructions
- A holder of 25% or more of the capital, profits or voting rights of the partnership



For corporate administrators acting as a director please complete the section on page 9.

#### Associated party details



**Note:** Please indicate which Director / associated party is the lead contact. We ask that only one party is the lead.

Are you the Lead Associated Party?

Capacity or role (i.e. Director or authorised signatory)

Full name (include Title e.g. Mr/Mrs)

Previous surname if changed (or any alias that has been used)

Permanent residential address (please do not provide a 'care of' or post box)

Date of birth (DD/MM/YYYY)

Email address

Mobile phone number

National Insurance number

Nationality (include all if you have more than one)

Country of birth

#### Associated Party 1

☐ Yes ☐ No

Postcode:

#### Associated Party 2

☐ Yes ☐ No

Postcode:

### 3. Associated party details

#### Associated party details

Are you the Lead Associated Party?

Capacity or role (i.e. Director or authorised signatory)

Full name (include Title e.g. Mr/Mrs)

Previous surname if changed (or any alias that has been used)

Permanent residential address (please do not provide a 'care of' or post box)

Date of birth (DD/MM/YYYY)

Email address

Mobile phone number

National Insurance number

Nationality (include all if you have more than one)

Country of birth

#### Associated Party 3

☐

Yes

☐

No

Postcode:

#### Associated Party 4

☐

Yes

☐

No

Postcode:

#### Corporate administrators only

Only complete this section if you are a corporate administrator acting in a professional capacity.

Legal name

Registered office address (please do not provide a 'care of' or post box):

Postcode:

Date of incorporation (DD/MM/YYYY)

### 3. Associated party details

#### Outside business interests



**Note:** Please complete this section for/in respect of all directors or associated parties identified in this form (and any outlined on additional sheets).

Are any of the individuals listed in this form, or have they ever been a US citizen; the holder of a US passport; the holder of a Green Card; the holder of a US bank account; or a resident or owner of a property in the US?

☐ No

If you answered 'Yes' to any of the above, please provide the name of the individual(s) and any relevant details:

Do you or one of your immediate family members (spouse, spousal equivalent, or dependants) work for an accountancy firm such as Deloitte, EY, KPMG or PwC, that requires you or them to conform to personal independence rules?

☐ No

If you answered 'Yes', please name the firm you or your immediate family member works for:

Are any of the individuals listed in this form a politically exposed person or associated with one now, or at any time in the past?

☐ No

If you answered 'Yes' to the above, please provide the name of the individual(s) and any relevant details:

## 4. Sharing the account information

✓ - ✓ - ✓ - 4 - 5 - 6 - 7

This section lets us know if you would like us to share information relating to the Company's investments with a financial adviser or another professional adviser.

### With your financial adviser

Name of your financial adviser:

Name of their organisation:

Address of their organisation:

  
Postcode:

Contact details of their organisation:

  
Tel:  
Email:

FCA registration number of their organisation:



**Note:** It is our standard practice to grant online access to the organisation named above so that your financial adviser can view your accounts, quarterly investment reports and tax packs 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 (this may include support and administrative staff and/or other regulated advisers).

### With another professional adviser

Only complete this section if you'd like us to share your account information to a professional, who is not your financial adviser; e.g. an accountant or auditor.

Name of your professional adviser:

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

Address of their organisation:

  
Postcode:

Contact details of their organisation:

  
Tel:  
Email:

Sharing information with your accountant/auditor:

- ☐ Investment reports, valuations and transaction reports  
☐ Annual tax report

Date of financial year end (DD/MM/YYYY):

Where would you like us to send your annual tax report to?  
Tick all that apply.

- ☐ Principal correspondence address  
☐ Auditor's/accountant's address

## 5. Your Investment Strategy and Income Preferences

✓ - ✓ - ✓ - ✓ - 5 - 6 - 7

This section will help us understand your investment strategy. 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.

### Your investment strategy



**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 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 Defensive

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 Defensive 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 low variation or disruption to capital value or current income.

The Quilter Cheviot MPS Defensive Strategy is a diversified portfolio comprising fixed interest, 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.

## 5. Your Investment Strategy and Income Preferences

### 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 low 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.

### Quilter Cheviot IDX 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 IDX 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 IDX Growth Strategy is a diversified portfolio comprising predominantly domestic and international equity index-tracking funds with a small exposure to fixed interest index-tracking funds. There may also be exposure to exchange-traded products (ETPs) and 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.

### Quilter Cheviot IDX 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 IDX 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 IDX Balanced Strategy is a diversified portfolio comprising predominantly domestic and international equity index-tracking funds as well as some exposure to fixed interest index-tracking funds. There may also be exposure to exchange-traded products (ETPs) and 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.

### Quilter Cheviot IDX 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 IDX 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 IDX Income Strategy is a diversified portfolio comprising predominantly domestic and international equity index-tracking funds as well as some exposure to fixed interest index-tracking funds. There may also be exposure to exchange-traded products (ETPs) and 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.

### Quilter Cheviot IDX 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 IDX 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 low variation or disruption to capital value or current income.

The Quilter Cheviot IDX Conservative Strategy is a diversified portfolio comprising predominantly fixed interest index-tracking funds as well as some exposure to domestic and international equity index-tracking funds. There may also be exposure to exchange-traded products (ETPs) and 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.

# 5. Your Investment Strategy and Income Preferences

## Responsible investment considerations

The MPS is an Aware service and aim is to optimise financial returns for the risk level selected whilst being aware of ESG factors as an an important input to achieve this. If you wish to apply an ‘Engaged’ or ‘Dedicated’ strategy this is not possible in MPS so please speak to your financial adviser before completing this form.

## Risk definitions

Your overall financial circumstances will principally determine your risk tolerance and you may have to accept more risk than you initially anticipate in order to achieve your long-term objective. Your risk tolerance 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	Lower to Medium	Medium	Medium to Higher	Higher
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.	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.	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.	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.	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
- ☐ Income
- ☐ Cautious
- ☐ Growth
- ☐ Defensive
- ☐ Balanced
- ☐ Conservative

### 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 Conservative
- ☐ IDX Balanced
- ☐ IDX Income

## 5. Your Investment Strategy and Income Preferences

### Income instructions



**Note:** We can only set up income payments in sterling. If this section is incomplete, your income will be transferred to capital and reinvested into your portfolio.

If you do not want us to transfer your income to your capital account and reinvest into your portfolio please tick one alternative below.

☐ Transfer £  to capital to fund or partly fund a fixed Quarterly payment commencing on  /  /

☐ Transfer £  to capital to fund or partly fund a fixed Monthly payment commencing on  /  /

☐ Quarterly payments of income received payable on  /  /

☒ If you have selected to receive income on a monthly or quarterly basis and specified the date above we will send your payment to you once we have received your funds/assets.



**Note:** If you chose a fixed payment, and this exceeds the income generated from the account, the amount of money in the account will be depleted.

### Bank or Building Society Details



**Note:** Bank or building society account details are required even if no income is being withdrawn.

Account name  
(as it is on your statement):

Account number:

Sort Code:

Building society reference:



**Note:** You can only make payments or asset transfers from your account to third parties under some circumstances. If you would like to do so, please speak to your investment manager for more information. Normally, cash or asset withdrawals go to another bank or investment account that is in your name. We do permit payments to the HMRC. If one of the banks listed is for the HMRC for tax payments please include your unique tax payer reference in the account name line.

If you have more than one bank or building society account, please fill in the details on next page.

# 5. Your Investment Strategy and Income Preferences

## Additional Bank or Building Society Details

Account name (as it is on your statement):	<input type="text"/>		
Account number:	<input type="text"/>	Sort Code:	<input type="text"/> / <input type="text"/> / <input type="text"/>
Building society reference:	<input type="text"/>		

Account name (as it is on your statement):	<input type="text"/>		
Account number:	<input type="text"/>	Sort Code:	<input type="text"/> / <input type="text"/> / <input type="text"/>
Building society reference:	<input type="text"/>		

Account name (as it is on your statement):	<input type="text"/>		
Account number:	<input type="text"/>	Sort Code:	<input type="text"/> / <input type="text"/> / <input type="text"/>
Building society reference:	<input type="text"/>		

Account name (as it is on your statement):	<input type="text"/>		
Account number:	<input type="text"/>	Sort Code:	<input type="text"/> / <input type="text"/> / <input type="text"/>
Building society reference:	<input type="text"/>		

Account name (as it is on your statement):	<input type="text"/>		
Account number:	<input type="text"/>	Sort Code:	<input type="text"/> / <input type="text"/> / <input type="text"/>
Building society reference:	<input type="text"/>		

## 6. Fees and Charges

✓ - ✓ - ✓ - ✓ - ✓ - 6 - 7

In this section we will ask you to confirm your agreement to our fees and charges as well as confirming if you would like us to pay your adviser's charges, if applicable, from your portfolio.

### Quilter Cheviot Fees and Charges Consent

I/We confirm, **by ticking this box**, that I/We are in receipt of the Quilter Cheviot schedule of charges and my/our investment proposal or investment schedule, setting out the applicable initial and annual management charges, and I/We agree to such charges.

I consent

☐

### Adviser Charges Consent

Only complete this section if you have a financial adviser and you would like to use this account to pay for their charges. If not, please skip to the next section called 'Your consent and signature' on page 18.

Adviser name

Annual servicing charge

£

OR

%

of the total assets under management with Quilter Cheviot on a continuing basis.

Is VAT applicable to the ongoing annual servicing charge? It is your adviser's responsibility to determine this.

☐

Yes

☐

No

Initial Charge

£

OR

%

of all new funds invested into your portfolio.

Is VAT applicable to the initial charge? It is your adviser's responsibility to determine this.

☐

Yes

☐

No

If you answered a percentage payment above, how long would you like for this instruction to remain in place?

☐

For the initial investment only

☐

For 12 months from the date of this instruction

☐

Until cancelled in writing (this option will be applied if you choose to not make a selection)

### Vision Investment Portal Fee

In respect of due diligence on the discretionary fund management marketplace and on investment portal provision the following additional charge will apply and be paid to Vision Investment Portal:

- For Managed Portfolio Service clients 0.2% plus VAT
- For Managed IDX Portfolio Service clients 0.1% plus VAT

## 7. Your consent and signature

✓ - ✓ - ✓ - ✓ - ✓ - ✓ - 7

This form should be signed by (1) all directors/signatories or (2) two of those with authority to operate the account as evidenced by accompanying meeting minutes appointing Quilter Cheviot as investment manager, which is signed by all directors/signatories. Please complete, sign and date the boxes below to;

- ✓ confirm that you agree to this application form, our Terms and Conditions, risk disclosures, investment proposal, cost and charges information on the Quilter Cheviot website and schedule of charges;
- ✓ confirm that, if applicable, you instruct Quilter Cheviot to facilitate the payment of adviser charges to your named adviser as set out in Part 6 of this application form;
- ✓ 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
- ✓ 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.



**Note:** Assets that we hold on your behalf will, as standard practice, be held on an omnibus basis in our nominee name. This means that your investments will be pooled with others that belong to our other clients. Ownership of each client's investments is always immediately and separately identifiable in our books and records.

As an alternative, we can hold some assets individually on a segregated basis. This means that your assets will be held in our nominee name but will be separate from other clients' assets. If you would like an individual segregated account, there may be additional annual administration charges. This service is only available on request. Please speak to your investment manager if you would like further information.

Signature

Date

Print name

**Signatory 1**

**Signatory 2**

Signature

Date

Print name

**Signatory 3**

**Signatory 4**

### Thank you for completing your Account Application form

Please also now complete and return the attached form on page 23-32 to cover FATCA reporting and page 33 for the beneficial ownership. Failure to return these sections may prevent us from providing investment services to you.

#### Optional sections

**Want to request a Legal Entity Identifier code/number?** Please complete pages 34-35 As a reminder, you will need this to allow for trading on your account. **Want to transfer a corporate account to us?** Please complete pages 36-37.

Once completed, please return your form(s) via:



**Email:** Simply scan your completed forms, or attach the PDF, and email them to your investment manager or financial adviser.



**Post:** To your investment manager at your local Quilter Cheviot office or to your financial adviser.

# Helpful information

## Our reporting services

Once your account is opened, we will regularly provide you with a comprehensive investment report which includes a valuation, performance summary, transaction schedule, capital and income statements.

You can instantly access your report via your online portal by choosing to go paperless and receive all reporting electronically. Simply provide your email and mobile telephone number, and we will provide you with details on how to register.

If your investments are subject to UK or Irish income or capital gains taxes, we'll also provide an annual tax summary. Please note that this tax information does not constitute tax advice and you should seek independent tax advice.

## Our schedule of charges

### Core Charges:

#### 1. Annual Management Charge

We calculate our annual management charge based on the value of your portfolio (including cash and ISAs where applicable) at the end of each month and average it over our charging period. This management charge is paid directly from your Quilter Cheviot account to us quarterly in arrears at the end of March, June, September and December and it can be subject to VAT.

The Investment Proposal or Schedule that you should have already received from your investment manager describes the relevant annual management charges in the 'Our pricing structure' section. You can confirm your agreement to these in the 'Your signature and declarations' section of this application pack under your consent and signature.

#### 2. Initial Charge

For investments into our AIM service we charge an initial of 1% (plus VAT) with a £5,000 maximum based on the value of your portfolio when the account is opened.

### For Advice and Dealing & Execution Only Accounts: (the following charges apply)

#### Dealing Commission

This will be calculated based on transaction values meaning the more you invest with us, the better rates you can unlock. The minimum charge is £50.

#### Custody Charge

£45 per UK or overseas asset. This is offsettable against commission at the end of November. This charge is not applied to estates in administration.

#### Dealing Charge:

Contract charge of £40 per transaction.



#### Commission Values

All assets above £20,000  
= 0.3%

The next £10,000 = 0.5%

The first £10,000 = 1.9%

# Helpful information

## Other charges:

### CHAPS or SWIFT

£20 for a same day transfer of cash

### Currency Conversion

Our exchange rate used on currency conversions includes Quilter Cheviot's own charge of 0.75% that is applied to the currency exchange rate at the time the trade is done, after we adjust for the foreign exchange brokerage charge of 0.07% applied by our broker on our currency trades with them.

**Legal Entity Identifier (LEI) Charge** (only required for trusts, corporate entities, charities and some pension funds)  
£70 + VAT. Annual renewals are £60 + VAT and will be carried out only on request.

### Indemnity Charge (for share certificate replacement)

Any charges received from external third parties will be charged to your portfolio.

### Probate Valuation Charge

0.10% of the value of assets with minimum charge of £75 + VAT maximum of £500 + VAT.

### Stamp Duty and PTM Levy

Stamp duty is a tax paid on UK and Irish paper and electronic share transfers. The PTM levy is a UK and Irish Tax which is payable on trades in securities. Additional Details can be found on our website ([www.quiltercheviot.com](http://www.quiltercheviot.com))

### Third Party Brokerage Rates (with applicable minimum charges in brackets)

0.04% - USA (USD9)

0.05% - Canada (CAD10)

0.05% - Eurozone ex Ireland and Greece (up to EUR20 depending on the country)

Third-party brokerage charges are calculated by applying the above rates to the value of the transaction. Minimum charges will apply if the value of the transaction does not meet the minimum amount that is set by our broker. These are charged in the relevant local currency.

The details above are for the international markets where we carry out transactions the most often. Full details of the additional countries that we trade in less frequently including their rates and minimum charges can be found on our website ([www.quiltercheviot.com](http://www.quiltercheviot.com)).

### Transfer Out In-Specie

Charged when transferring investments to another custodian as they are (not transferred to cash)

- £50 per holding of overseas assets
- £15 per holding of UK assets

## Additional information about investing with us

### Adviser Charges

If you have an Adviser, they may apply a charge on top of the fees charged by Quilter Cheviot. You can provide us with your Adviser's initial and ongoing charge in the 'Your Fees and Charges' section of this application pack under 'Adviser Charges'. Any charges you pay to your adviser from your portfolio will appear in your valuation.

# Helpful information

## How to certify your identity documents

If you are an overseas resident or have an incomplete identification check, your evidence of identity must be confirmed by either an FCA-authorised person or a member of a professional organisation recognised by the Money Laundering Regulations 2007.

The following are the authorised individuals who can certify your documents:

- UK/Overseas Solicitor
- Notary Public
- Commissioner for Oaths
- UK Barrister (not a Judge)
- UK Licensed Conveyancer
- UK Legal Executive
- UK/Overseas 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)



**Note:** If your identity documents are not certified by someone who fits the approved list above, we cannot accept them. To open your account with us you will need to re-submit documentation that is certified to our requirements.

In addition, we need to be able to read documents that have been photocopied. If we cannot, we will ask you to re-submit a legible version.

## How to send us your identity documents

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 the square brackets [] where the document includes a photograph of the individual.

The person who provides the certification must be named and able to be contacted about the document if it is necessary. Therefore, a certification in the name of a firm is not acceptable. The person who certifies your document must be currently employed in the approved position. For us to accept your identity documents, the following information about the certifier needs to be clear on the certification:

- Their name
- Their title
- Their occupation
- The date of certification
- Their contact details



**Note:** We need the original signature of the person certifying any photocopied documents. We cannot accept electronic signatures or photocopies of certified copy documents.

## Data Protection

The personal information you provide will enable us to provide our services to you. The personal data you provide will be used and stored in accordance with the Data Protection Act 2018 and the UK General Data Protection Regulation (UK GDPR).

For further information on how we use your personal data and your rights in relation to your personal data, please see our Privacy Notice which can be accessed on our website at: [www.quiltercheviot.com/important-information/privacy-notice/quilter-cheviot-privacy-notice/](http://www.quiltercheviot.com/important-information/privacy-notice/quilter-cheviot-privacy-notice/) or provided on request.

Should you have any enquiries relating to the personal data that we may hold about you, how your personal data is processed, or how to exercise your rights you can contact our Data Protection team, at [privacy@quiltercheviot.com](mailto:privacy@quiltercheviot.com).

# Helpful information

## How to certify your company identity documents

### Additional AML requirements for the corporate/partnership/club/society

**Please note that for requirements marked \* verification of identity for individuals will be performed electronically using the information provided on pages 8 to 9. For overseas residents, or where the identity check fails, we will ask you for certified copies of identity documentation.**

If there is a principal employer, please provide a certified copy of the certificate of incorporation, articles of association, register of directors and register of shareholders.

#### Friendly societies;

- Evidence that those operating the account are duly authorised to do so (e.g. trustees' meeting minutes or authorised signatory list of corporate trustees); and
- Evidence of FCA regulated status

#### Corporate accounts;

- Certified copy of certificate of incorporation
- Certified copy of the Articles of Association or other governing document
- Evidence of appointment of Quilter Cheviot as managers (minutes of meeting)
- Evidence that those operating the account are duly authorised to do so (minutes of meeting and/or authorised signatory list)
- Certified copy of directors register
- If not Plc, certified copy of shareholders register
- \*Verification of identity for the persons operating the account
- \*Verification of identity for shareholders with 25% plus of equity (if not Plc)/voting rights or a controlling interest
- \*Verification of identity for ultimate beneficial owner(s)
- Beneficial Ownership Declaration for a privately owned or unlisted company.
- Offshore trust/PIC declaration for a personal investment company owned by an offshore trust.

**\*Where a beneficial owner of a Company is another Company or a Trust, verify that beneficial owner in accordance with its legal form and drill down to the ultimate individual beneficial owners.**

#### Partnerships;

- Certified copy of partnership deed/agreement
- Evidence of appointment of Quilter Cheviot as managers (minutes of meeting)
- Evidence that those operating the account are duly authorised to do so (minutes of meeting and/or authorised signatory list)
- Register of partners
- \*Verification of identity for the persons operating the account
- Verification of identity for partners with 25% plus of equity/voting rights/profit
- Certified copy of Certificate of Incorporation (if applicable)
- For Limited Partnerships, identity of the General Partner(s)

**\*Where a beneficial owner of a Company is another entity, verify that beneficial owner in accordance with its legal form and drill down to the ultimate individual beneficial owners.**

#### Clubs/Societies;

- Certified copy of Constitution
- \*Verification of identity for the persons operating the account
- Evidence of appointment of Quilter Cheviot as managers (minutes of meeting)
- Evidence that those operating the account are duly authorised to do so (minutes of meeting and/or authorised signatory list)
- List of current officers
- \*Where the club is active overseas please verify the identity of all the officers of the Club

**\*If the Club or the Society is a Trust or Company, please verify them in accordance with the appropriate legal form together with a certified copy of the Constitution.**

# Tax residence and status Corporate questionnaire

**For the purposes of the US Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS), Government legislation now requires investors to certify details relating to their tax arrangements.**

This section of our client application form must be completed by corporate entities as part of our new account opening process.

We are required under The International Tax Compliance Regulations 2015 and related HMRC guidance (as amended or replaced from time to time) to collect certain information about the tax status of each investor and certain related natural persons. We may be required to disclose this information and account details to HM Revenue & Customs (HMRC) and/or other tax authorities overseas. These regulations were enacted pursuant to Inter-Governmental Agreements (IGAs) the UK has entered into with the United States to implement FATCA and with various other jurisdictions to implement the CRS.

Quilter Cheviot cannot determine your FATCA or CRS status for you or provide you with any advice on this. We have provided accompanying explanatory notes & instructions which should be referred to when completing this form.

**If you are in any doubt about your FATCA and/or CRS status you should obtain advice from a suitably qualified tax specialist.**



**Important information:** A branch of an entity is treated as an entity in its own right for FATCA/CRS purposes, so this form should be completed with details for the branch, and not that of its head office.

Please complete Part I and section 11 in all cases and one sections (as appropriate) in each of Parts II and III. Section 10 (Part IV) should be completed only if applicable.

## Part I: General

1. Name of organisation:

2. Country of incorporation/  
organisation:

3. Account number(s) (if known):

4. Tax residency of the  
organisation:

Country (or countries) of residence*	Tax Reference Number(s):
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

If Tax Reference Number not available, please specify the reason:

**If the organisation is resident in the United States you must complete and return IRS (Internal Revenue Service) form W-9 and complete part III onwards.**

## Part II: FATCA classification

If the organisation is NOT a Financial Institution for the purposes of FATCA please complete section 7 onwards. Otherwise please continue by completing either of sections 5 or 6. (If there is any doubt, please refer to the explanatory notes and/or contact your usual tax advisor).

**5. The organisation is a NON-US financial institution with a GIIN** (Global intermediary identification number)

GIIN:

Please confirm in what capacity the GIIN has been supplied:  
(Please tick only one)

- ☐ The organisation is a UK or Partner Jurisdiction Financial Institution
- ☐ The organisation is a Participating Financial Institution
- ☐ The organisation is a Sponsored Investment Vehicle/Entity/Sponsored closely held investment vehicle\*

Please provide the name of the Sponsoring Financial Institution, if applicable:

\*Delete as appropriate

If you have completed section 5, sections 6, 7 and 8 do not need to be completed.  
Please complete Part III onwards.

**6. The organisation is a NON-US Financial Institution but does not have a GIIN**  
(Global Intermediary Identification Number)

(Please tick only one)

- ☐ The organisation has applied, or is going to apply, for a GIIN
- ☐ The organisation is a Non-Participating Financial Institution
- ☐ The organisation is a Certified (or otherwise) Deemed Compliant FI

Please indicate exemption:

- ☐ The organisation is an Exempt Beneficial Owner

Please indicate status:

Other (please provide details):

If you have completed section 6, sections 7 and 8 do not need to be completed. Please complete Part III onwards.

**7. The organisation is NOT a  
NON-US Financial Institution:**

Where the organisation is not a Financial Institution, you will need to determine which type of non-financial Foreign Entity it is for FATCA purposes. (If there is any doubt, please refer to the explanatory notes and/or contact your usual tax advisor).

☐ The organisation is an Exempt Beneficial Owner

Please indicate status:

☐ The organisation is an Active Non-Financial Foreign Entity

☐ The organisation is a Passive Non-Financial Foreign Entity

If the organisation is a Direct Reporting NFFE, please provide the Entity's GIIN:

If the organisation is a Sponsored Direct Reporting NFFE, please provide the organisation's GIIN and Sponsoring Entity's name

Organisation's GIIN:

Sponsoring Entity's Name:

If the organisation is a 'Passive' NFFE, please complete Part IV (and Part III). Otherwise, you only need to complete the declaration in section 8.

## Part III: The Common Reporting Standard

Please provide your status under CRS by ticking the appropriate box. Note that your CRS classification may not coincide with your classification under FATCA.

**If your organisation is NOT a Financial Institution for CRS purposes please complete section 9 onwards. Otherwise please continue by completing section 8. (If there is any doubt, please refer to the explanatory notes and/or contact your usual tax advisor.)**

☐ The organisation is an Exempt Beneficial Owner

Please indicate status:

### 8. The organisation is a financial institution:

- ☐ The organisation is an Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution (deemed a Passive NFE). If you have ticked this box please complete Part IV onwards
- ☐ The organisation is another Investment Entity
- ☐ The organisation is another type of Financial Institution (Custodial Institution, Depository Institution or Specified Insurance Company)

### 9. The organisation is not a financial institution:

- ☐ The organisation is an Active Non-Financial Entity that is a corporation the stock of which is regularly traded on an established securities market or a related entity of such corporation.

Please provide the name of the established securities market:

If the organisation is a related entity of a regularly traded corporation, please provide the name of the regularly traded corporation:

- ☐ The organisation is An Active NFE that is a Governmental Entity, International Organisation or Central Bank (including an entity wholly owned by one or more of the foregoing)
- ☐ The organisation is an Active NFE which is none of the above
- ☐ The organisation is a Passive NFE

If you have ticked this box please complete Part IV onwards.

QC  
QUILTER CHEVIOT

## 10. Controlling Persons Self-Declaration of Residency (Including direct and indirect owners and controlling persons)

Please ensure you list below each controlling person, confirming ALL countries of tax residency and ALL tax reference numbers for EACH controlling person. If a person is a US citizen, US green card holder or US resident, you must include United States in the table below along with his or her US Tax Identification Number (TIN) and an IRS form W-9.

**Person 1**

**Postcode:**

\_\_\_\_\_

\_\_\_\_\_ / \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

--

\_\_\_\_\_

\_\_\_\_\_

1. *Journal of the American Medical Association*, 1997; 277: 103-107.  
 2. *Journal of the American Medical Association*, 1997; 277: 108-112.

**Postcode:**

\_\_\_\_\_

$$\frac{1}{\sqrt{2}} \begin{pmatrix} 1 & 1 \\ 1 & -1 \end{pmatrix} \frac{1}{\sqrt{2}} \begin{pmatrix} 1 & 1 \\ 1 & -1 \end{pmatrix} = I$$

\_\_\_\_\_

\_\_\_\_\_

--

\_\_\_\_\_

\_\_\_\_\_

# Tax residence and status Corporate questionnaire

Full name

**Permanent residential address**  
(please do not provide a 'care of' or  
post box)

**Country/countries of Tax  
Residency**

**Date of birth (DD/MM/YYYY)**

**Town/City and country of birth**

**Tax Reference Number(s)**  
(for the Channel Islands and UK  
residents the Social Security Number  
or National Insurance Number is a  
valid reference)

**If no Tax Reference Number is  
available, please specify the  
reason**

**Tax Reference Number Type**

**Type of controlling person**  
(please select type from the table  
set out in Explanatory Notes and  
Instructions and indicate below the  
letter corresponding to the relevant  
type)

**Person 3**

  
  
**Postcode:**

**Person 4**

  
  
**Postcode:**

## 11. Declaration

**Please complete in ALL cases.**

The information I have provided within this form and any relevant detail provided in part B (Associated Persons) of the client application form, to the best of my knowledge is true, accurate and complete.

I confirm that I am authorised to sign on behalf of the organisation stated in section 1.

I undertake to advise Quilter Cheviot promptly of any change in circumstances which causes the information provided to become incorrect or incomplete.

I am aware that in certain circumstances Quilter Cheviot will be obliged to share information with HMRC, who may in turn, pass it on to other tax authorities.

Signed:

Print name:

Date:

Capacity:

### For the purposes of FATCA and the Common Reporting Standard.

These explanatory notes are not intended to substitute reading and understanding the certification requirements of the US Foreign Account Tax Compliance Act (FATCA), the Common Reporting Standard (CRS) or the corresponding Intergovernmental Agreements.

The organisation completing the form will operate under the regulations applicable to their tax jurisdiction. This certification reflects the regulations in operation in their own jurisdiction.

### PURPOSE OF THE TAX RESIDENCE AND STATUS TRUST QUESTIONNAIRE SECTION

This section of our client application form must be completed by all corporate organisations as part of our new account opening process.

We are required under The International Tax Compliance Regulations 2015 and related HMRC guidance (as amended or replaced from time to time) to collect certain information about the tax status of each investor and certain related natural persons. We may be required to disclose this information and account details to HM Revenue & Customs (HMRC) and/or other tax authorities overseas. These regulations were enacted pursuant to Inter-Governmental Agreements (IGAs) the UK has entered into with the United States to implement FATCA and with various other jurisdictions to implement the CRS.

Quilter Cheviot cannot determine your FATCA or CRS status for you or provide you with any advice on this. We have provided accompanying explanatory notes & instructions which should be referred to when completing this form.

**If you are in any doubt about your FATCA and/or CRS status you should obtain advice from a suitably qualified tax specialist.**

There are separate forms for individuals, trusts and specialised entities such as pension funds or charities.

### EXEMPT BENEFICIAL OWNER

The most common example of UK financial institutions in this category is a pension scheme (plan, scheme, Fund, Organisation or other arrangement established in the UK) which is generally exempt from income taxation in the UK or operated principally to administer or provide pension or retirement benefits or to earn income for the benefit of one or more such arrangements.

If you believe the organisation may fall within this category please consider if the pensions account opening form is more appropriate to your circumstances.

### DEEMED COMPLIANT FINANCIAL INSTITUTION

A common example for this organisation category is a registered charity but other charitable organisations and non-profit organisations (e.g. Sports Clubs) will also be deemed compliant and are not required to report under FATCA.

If you believe the organisation may fall within this category please consider if the charity account opening form is more appropriate to your circumstances.

## INSTRUCTIONS

### PART I: GENERAL

#### SECTION 1: NAME OF TRUST

Enter the full name of the Organisation (the account holder).

#### SECTION 2: COUNTRY OF INCORPORATION/ORGANISATION

Enter the country of incorporation of the organisation (the account holder).

#### SECTION 3: ACCOUNT NUMBERS (IF KNOWN)

Where you are a new client you may not have an account number. Where you are an existing client, you should list all account numbers to which the questionnaire applies.

#### SECTION 4: TAX RESIDENCY

The regulations require Quilter Cheviot to collect specific information about each client's tax residence(s), and determine whether Quilter Cheviot are obliged to submit account information to our local tax authorities, who may pass the information on to other tax authorities.

Please specify within the table provided, all countries in which the organisation is resident for tax purposes and the associated tax reference number(s) and the tax reference number.

**Country or countries of Tax Residency:** Enter the country or countries where the organisation is resident for the purposes of that country's income taxation. If the organisation is tax resident in more than one country, please list each one separately.

**Tax Reference Number(s):** Enter the tax reference number(s) that your country of residence for tax purposes has issued to you and (in the separate column provided) the tax reference number type. Where a country does not issue tax reference number(s) a "functional equivalent" may be used, which may include a company registration number or other similar form of identification.

### PART II: FATCA CLASSIFICATION

#### SECTION 5: THE ORGANISATION IS A FINANCIAL INSTITUTION WITH A GIIN (GLOBAL INTERMEDIARY IDENTIFICATION NUMBER)

'Financial Institution' means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company. For FATCA purposes:

- (a) 'Investment Entity' means any entity that conducts as a business (or is managed by an entity that conducts as a business) one or more of the following activities or operations for or on behalf of a customer: (1) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading; (2) individual and collective portfolio management; or (3) otherwise investing, administering, or managing funds or money on behalf of other persons. The term Investment Entity shall be interpreted in a manner consistent with similar language set forth in the definition of "financial institution" in the Financial Action Task Force Recommendations;
- (b) 'Custodial Institution' means any entity that holds, as a substantial portion of its business, financial assets for the account of others. An entity holds financial assets for the account of others as a substantial portion of its business if the entity's gross income attributable to the holding of financial assets and related financial services equals or exceeds 20% of the Entity's gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the entity has been in existence;

- (c) 'Depository Institution' means any entity that accepts deposits in the ordinary course of a banking or similar business; and
- (d) 'Specified Insurance Company' means any entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

If you are unsure about the organisation's classification for the purposes of FATCA please contact your tax advisor.

- (i) The organisation is a UK or Partner Jurisdiction Financial Institution – An organisation is Partner Jurisdiction Financial Institution if it is (a) a Financial Institution resident in a jurisdiction treated as having in effect an Inter-governmental Agreement with the US to implement FATCA (a Partner Jurisdiction), but excluding any branches of such Financial Institution that are located outside the Partner Jurisdiction, or (b) a branch of a Financial Institution not resident in the Partner Jurisdiction, if such branch is located in the Partner Jurisdiction. The organisation has registered directly with the IRS and will have a GIIN which should be recorded in the box provided.
- (ii) A Registered Deemed Compliant Financial Institution – the organisation is a non-US FI that has registered with the IRS and obtained a GIIN and falls within a category of Registered Deemed Compliant Foreign Financial Institutions under US Treasury Regulations made pursuant to FATCA, other than an FI within (i) or (iv) – examples include a local FFI, non-reporting FI member of a Participating FFI group, qualified collective investment vehicle, restricted fund, qualified credit card issuer, etc.
- (iii) The organisation is a Participating Financial Institution – The organisation is not resident in the UK or a Partner Jurisdiction but has registered and entered into an FFI agreement directly with the IRS and will have a GIIN which should be recorded in the box provided.
- (iv) Sponsored Investment Vehicle/Entity – The organisation can be an FI and be sponsored where it has a contractual arrangement for its due diligence and reporting is to be carried out by a Sponsoring Entity. If the organisation is sponsored, please provide the GIIN and the name of the Sponsoring Entity, in the boxes provided. Please ensure you confirm whether you are being sponsored as an 'investment entity' or a 'closely held investment vehicle'.

### SECTION 6: THE ORGANISATION IS A NON-US FINANCIAL INSTITUTION BUT DOES NOT HAVE A GIIN

If the organisation cannot provide a GIIN, please tick the reason why it does not have a GIIN:

- (i) The organisation has applied, or is going to apply, for a GIIN (but has not yet received it) – Whilst most FIs will have applied and received a GIIN there may be cases where the FI is in the process of applying but not yet received it. If this is the case please tick this box and provide the GIIN as soon as this becomes available.
- (ii) The organisation is a "Non-Participating FI" – The organisation may be a Non-Participating FI if it is located in a jurisdiction that does not have an IGA with the US and the FI has not entered into a FATCA Agreement with the IRS, and it is not deemed compliant or excepted. An FI may also be a Non-Participating FI if it is a UK FI or Partner Jurisdiction FI that is included on an IRS list of non-US Financial Institutions treated as Non-Participating FIs. We may be obliged to report details of this account to HMRC.
- (iii) The organisation is a Certified (or otherwise) Deemed Compliant FI – An organisation that is a Financial Institution exempt from the requirement to register with the IRS and report under FATCA and self-certifies its status to withholding agents by providing an appropriate certificate or form, if

it meets the relevant conditions. Financial Institutions in this category include non-registered local banks, financial institutions with only low-value accounts, certain investment managers and advisors, certain retirement plans, registered charities and other non-profit organisations, certain owner-documented FIs, limited life debt investment entities, etc. Where the organisation falls within this category of Financial Institution, please indicate the specific exemption in the space provided.

- (iv) Exempt Beneficial Owners – This category includes Financial Institutions that meet the relevant conditions to be Government Entities, International Organisations, Central Banks, certain retirement funds, and Investment Entities wholly owned by Exempt Beneficial Owners. Where the organisation is a Financial Institution that falls within this category, please indicate the specific type of Exempt Beneficial Owner in the space provided.

Other reason (please specify) – Please explain in the box why you believe that the organisation does not require a GIIN. We may be obliged to report details of this account to HMRC.

### SECTION 7: THE ORGANISATION IS NOT A NON-US FINANCIAL ENTITY

Where the organisation is not Financial Institution, you will need to determine which type of non-financial foreign entity it is for FATCA purposes. (If there is any doubt, please refer to the explanatory notes and/or contact your usual tax advisor).

- (i) The organisation is an Active Non-Financial Foreign Entity – There are various categories of Active Non-Financial Foreign Entities under the IGAs, including Excepted NFFEs under US Treasury Regulations implementing FATCA, which have no registration or reporting obligations under FATCA. The most common example of an Active NFFE includes an organisation in respect of which less than 50% of its gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by it during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income. [Other examples of categories of Active NFFE under the IGAs include government entities, central banks and international organisations and wholly owned subsidiaries of such entities; corporations (or related entities of corporations) whose stock is regularly traded on an established securities market; non-profit organisations; start-up NFFEs; entities liquidating or emerging from bankruptcy; treasury centres and holding companies that are members of non-financial groups; etc.

Where the organisation is a direct reporting NFFE or sponsored direct reporting NFFE (each a type of Excepted NFFE), please provide the GIIN of the organisation and, in the case of a sponsored direct reporting NFFE, the name of the sponsor.

- (ii) The organisation is a Passive Non-Financial Foreign Entity – If the organisation is not classified elsewhere, it will probably be deemed a Passive NFFE and you should tick the relevant box and go on to complete Section 10.

## PART III: THE COMMON REPORTING STANDARD

### SECTION 8. THE ORGANISATION IS A FINANCIAL INSTITUTION

'Financial Institution' means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company for CRS purposes. In general, the definitions of each type of Financial Institution are similar to those under FATCA, although there is an additional limb to the definition of an Investment Entity under CRS.

Under CRS, an organisation is an Investment Entity Financial Institution if:

- (a) it primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
  - (i) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
  - (ii) individual and collective portfolio management; or
  - (iii) otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or
- (b) its gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets and it is managed by another entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described in limb (a) of this definition.

The term Investment Entity shall be interpreted in a manner consistent with similar language set forth in the definition of “financial institution” in the Financial Action Task Force Recommendations.

If you are unsure about the organisation’s classification for CRS purposes please contact your tax advisor.

- (i) The organisation is an Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution – This category applies to an Investment Entity within limb (b) of the definition that is not in a jurisdiction participating in the CRS (i.e. not in a jurisdiction with which an agreement to exchange information under CRS is in place and which is identified in a published list). If this category applies to your organisation then it is treated as a ‘Passive’ NFE and you will need to provide information about its controlling persons in Part IV.
- (ii) The organisation is another Investment Entity – This category applies to an Investment Entity that does not fall within (i) above.
- (iii) The organisation is another type of Financial Institution - i.e. the organisation is a Custodial Institution, Depository Institution or Specified Insurance Company.

### SECTION 9. THE ORGANISATION IS NOT A FINANCIAL INSTITUTION

- (i) The organisation is an Active Non-Financial Entity that is a corporation the stock of which is regularly traded on an established securities market or a related entity of such corporation. Please provide the name of the established securities market in the space provided. If the organisation is a related entity of a regularly traded corporation, please provide the name of the regularly traded corporation in the space provided.
- (ii) The organisation is an Active NFE that is a Governmental Entity, International Organisation or Central Bank, or an entity wholly owned by one or more of the foregoing.
- (iii) The organisation is an Active NFE which is none of the above (e.g. a start-up NFE, a non-profit NFE, a holding company or treasury centre of a non-financial group, etc.)
- (iv) The organisation is a Passive NFE – This category applies to Non-Financial Entities or NFEs that are not Active NFEs. If this category applies to your organisation then you will need to provide information about its controlling persons in Part IV.

### PART IV: CONTROLLING PERSONS

#### SECTION 10: CONTROLLING PERSONS

Please only complete Section 10 where you have indicated the organisation to be a Passive Non-Financial Foreign Entity under

section 7, a deemed Passive NFE under section 8 or a Passive NFE under section 9.

Legislation on implemented FATCA, the CRS and related international governmental agreements requires Quilter Cheviot to identify all controlling persons of a ‘Passive NFFE’ or passive NFE, determine their tax residences, and determine whether Quilter Cheviot are obliged to submit specific account information regarding such controlling persons to their local tax authorities, who may pass this information on to other tax authorities.

Therefore, section 10 must list all “controlling persons” in the table provided.

**Definition of Controlling Persons:** The term ‘controlling persons’ is to be interpreted in a manner consistent with the applicable Anti-Money Laundering regulations i.e. natural persons who exercise direct or indirect control over an entity. In the case of a corporate organisation “Controlling Person” this means any natural person who ultimately owns or controls a legal entity through direct or indirect ownership or control over a sufficient percentage of the shares or voting rights in that legal entity; a percentage of more than 25% shall be deemed sufficient to meet this criterion. To the extent that there is doubt as to whether the natural person(s) with the controlling ownership interest are the beneficial owner(s) or where no natural person exerts control through ownership interests, the identity of the natural persons (if any) exercising control of the legal person or arrangement through other means should be provided. Where no natural person is identified as exercising control through ownership interests or other means, the identity of relevant natural person(s) who holds the position of senior managing official should be provided.

**Country/countries of Tax Residency:** Enter in full the name of the country in which the controlling person is resident for tax purposes.

**Town/city and country of birth:** Enter the town/city and country in which you were born.

**Date of Birth:** Enter date of birth in the following format dd/mm/yyyy.

**Address:** Enter the permanent residential address. The permanent residence address of the controlling person is the address in the country where he/she claims to be resident for the purposes of that country’s income tax. ‘Care of’ and PO Box addresses are not accepted.

**Tax Ref for Country of Residence:** Enter the tax reference number of the controlling person’s country of residence for tax purposes. Where a country does not issue a tax reference number a “functional equivalent” may be used. For an individual this would include, for example, a social security number, a national insurance number, a personal identification number or a resident registration number.

To the extent that there is doubt as to whether the natural person(s) with the controlling ownership interest are the beneficial owner(s) or where no natural person exerts control through ownership interests, the identity of the natural persons (if any) exercising control of the legal person or arrangement through other means should be provided. Where no natural person is identified as exercising control through ownership interests or other means, the identity of relevant natural person(s) who holds the position of senior managing official should be provided.

**Type of Controlling Person:** Enter the letter corresponding to the applicable type of Controlling Person listed in the table below:

#### Controlling Person’s Status:

- A - Controlling Person of a legal person – control by ownership
- B - Controlling Person of a legal person – control by other means
- C - Controlling Person of a legal person – senior managing official
- D - Controlling Person of a trust – settlor
- E - Controlling Person of a trust – trustee
- F - Controlling Person of a trust – protector
- G - Controlling Person of a trust – beneficiary

- H - Controlling Person of a trust - other
- I - Controlling Person of a legal arrangement (non-trust) - settlor-equivalent
- J - Controlling Person of a legal arrangement (non-trust) - trustee-equivalent
- K - Controlling Person of a legal arrangement (non-trust) - protector-equivalent
- L - Controlling Person of a legal arrangement (non-trust) - beneficiary-equivalent
- M - Controlling Person of a legal arrangement (non-trust) - other-equivalent

### SECTION 11: DECLARATION AND SIGNATURE

The individual signing this declaration must possess the authority to do so on behalf of the organisation.

This questionnaire must be completed and returned as soon as possible, as part of the account opening process. In any event within 90 days.

**This document does not purport to provide legal or tax advice and we accept no liability for any loss arising from any action taken or not taken by anyone using the information contained herein.**

# Beneficial ownership declaration by an authorised signatory

Beneficial Ownership Declaration by an authorised signatory for any privately owned or unlisted company.

Account name:

Company's name:

Company's registration number:

**Quilter Cheviot must, for any legal entity, identify and verify information on the entities' legal and beneficial owners.**

A beneficial owner for a body corporate is defined as any natural person who:

- ultimately owns or controls (whether through direct or indirect ownership or control, including through bearer share holdings or by other means) more than 25% of the shares or voting rights in the body corporate; or
- exercises control over the management of the body corporate; or
- otherwise exercises significant influence or control over the body corporate.

**As an authorised signatory for the investing company I confirm that:**

1) The table below lists the holders of all the shares which the company has authorised and issued and their percentage shareholdings;\*

Name of shareholder:	% Shareholding
----------------------	----------------

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

\*Please ensure that you have recorded the details and percentage shareholdings for every company shareholder.

2) The table below lists all of the individuals who are the ultimate beneficial owners of the company (where these are different to the shareholders). This includes any individual who exercises significant influence or control over the body corporate, or the management of the body corporate.

**Name(s) of any ultimate beneficial owners, where these are different from shareholder(s):**

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

**The company undertakes to:**

- Inform you of any changes to the above information on the beneficial ownership of the company.
- Supply you with AML/KYC information/ verification documents if there are changes to the beneficial ownership of the company.
- Inform you of any other material changes that occur in respect of the company's ownership structure.

**Authorised signatory:**

**For and on behalf of the company.**

**Name:**

**Position:**

**Date:**

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

**You are required to obtain a Legal Entity Identifier (LEI).**

Please select one of the following options:

- ☐ We already have a LEI as detailed below:
- 
- ☐ We are applying for a LEI directly or via a different firm or agency and will promptly provide Quilter Cheviot with it once received.
- ☐ We would like Quilter Cheviot to apply for, and maintain, a LEI on our behalf via UnaVista. Please complete Part B.

## Fees

We will charge the following fees, inclusive of VAT, if you ask us to apply for, and maintain, a LEI on your behalf.

	£	€
Initial application	84	100
Annual renewal*	72	86

\*The annual renewal charge will only be carried out on request.

## Declaration

Please complete, sign and date to confirm your agreement to the following points:

- I understand that if the information provided in this form (including part B if applicable) is incorrect or incomplete, Quilter Cheviot may not be able to carry out any transactions, or otherwise provide its services to the above named entity from 3 January 2018;
- I will notify Quilter Cheviot promptly in writing if any of the information provided in this form becomes incorrect or incomplete;
- If the above named entity is applying for an LEI directly or via a different firm or agency, I understand that failure to provide Quilter Cheviot with an LEI before 3 January 2018 may mean that Quilter Cheviot is unable to carry out any transactions, or otherwise provide its services to the above named entity;
- Quilter Cheviot shall not be responsible for the consequences of any incorrect or incomplete information being provided in this form (including part B if applicable), or if I do not notify Quilter Cheviot of any such information subsequently becoming incorrect or incomplete;
- If Quilter Cheviot has been requested to apply for a LEI on behalf of the named entity, I understand that Quilter Cheviot is reliant on UnaVista for the allocation of the LEI and that Quilter Cheviot will not be responsible for any delay or failure on the part of UnaVista in doing so;
- Where Quilter Cheviot has been requested to renew the LEI annually, I understand that Quilter Cheviot will only be responsible for doing so whilst the above named entity remains a Quilter Cheviot client; and
- Where applicable, I accept the charges detailed in this form and acknowledge that these will be debited from the named entity's Quilter Cheviot account once the application is made and on each relevant renewal date.

If there is anything in this form that you do not understand, or if you have any questions, please contact your investment manager.

**Signed for and on behalf of:**

**Authorised Signatory**

**Name**

**Position**

**Date**

 /  / 

**Please return to**

# Legal Entity Identifier Request Form B

London Stock Exchange Plc  
FAO: LEI  
Operations Department  
4th Floor  
10 Paternoster Square  
London EC4M 7LS  
UK

**Re: Authorisation to apply for Legal Entity Identifier (LEI)**

**Dear Madam or Sir,**

The below named entity is authorised to apply for an LEI on behalf of:

as well as maintain the related data (annual renewal), submit the corresponding declarations of intent in our name, and to take all necessary measures in this regard.

Requestor Entity name -	Quilter Cheviot Limited
Requestor Entity address -	Senator House, 85 Queen Victoria Street, London EC4V 4AB
Requestor contact details -	Robert Russell Telephone: 020 7150 4182 Email: LEI@quiltercheviot.com

Authorised Signatory

Date

 /  / 

For and on behalf of

**First name, last name (please print)**

Email

Telephone

**Position within organisation**

- |   |  |
|---|--|
| <input type="checkbox"/> Director           | <input type="checkbox"/> Company Secretary |
| <input type="checkbox"/> Compliance Officer | <input type="checkbox"/> Treasurer         |
| <input type="checkbox"/> Trustee            | <input type="checkbox"/> Trustee's agent   |

## QUILTER CHEVIOT

Senator House, 85 Queen Victoria Street  
London EC4V 4AB

**t:** +44 (0)20 7150 4000

**w:** quiltercheviot.com

Quilter Cheviot and Quilter Cheviot Investment Management are trading names of Quilter Cheviot Limited. Quilter Cheviot Limited is registered in England with number 01923571, registered office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB. Quilter Cheviot Limited is a member of the London Stock Exchange and authorised and regulated by the UK Financial Conduct Authority and as an approved Financial Services Provider by the Financial Sector Conduct Authority in South Africa.

# Transfer a General Investment Account

Please complete and sign this form to transfer an existing investment account that is not an ISA to your account with Quilter Cheviot. When you have submitted this form to us, we will send it to your current account provider so that they can begin the process of transferring it.

**A separate transfer instruction is needed for each account** you would like to transfer. If you'd like to transfer more than one account, you have two options:

1. Ask your investment manager for additional forms, or
2. Print as many copies of this page as you need

## Authorisation for the account manager to provide information:

### Authorisation for the account manager to provide information:

I/We wish to transfer my/our non ISA account to Quilter Cheviot. I/We authorise you to provide Quilter Cheviot with all relevant information requested by them as listed below.

## Details of the account to be transferred

Account number/reference

Account name

Company name of transferring  
Account Manager

Contact name

Company address

## Personal details

Full name (including Title)

### First-named client on account

Permanent residential address  
(please do not provide a 'care of'  
or post box)

National Insurance number

Date of birth (DD/MM/YYYY)

### Second-named client on account



**Note:** ISA transfers will be dealt with separately.

**You have two options to transfer your account, please select one:**

**I/We request and authorise you:**

To accept instructions from Quilter Cheviot with regard to the in-specie transfer of securities and/or sale of securities that you hold in my/our name(s) in the account detailed on the previous page.

☐ **Full transfer**

If you would like to transfer the full contents of the account to your account at Quilter Cheviot, please select this option.

The account held in my/our name(s) should be **closed with immediate effect and transferred to Quilter Cheviot:**

The approximate value is:

Please indicate below if the transfer should be in specie or cash:

In specie ☐

Cash ☐

If both, please indicate split

Both ☐

☐ **Partial transfer**

If you would like to transfer some of the contents of the account but not all, please select this option and specify how much you would like to transfer.

Please arrange for a **partial transfer of securities/cash to Quilter Cheviot:**

The approximate value is:

Please indicate below if the transfer should be in specie or cash:

In specie ☐

Cash ☐

If both, please indicate split

Both ☐

**First client**

Signature

Date

Print name

**Second client**

Signature

Date

Print name

**Quilter Cheviot investment manager and team contact details:**

Investment  
Manager name  
Telephone

Email

Office address

Administrator /  
Assistant name  
Telephone

Email

**Cash Transfers GBP**

Cleared GBP cash should be sent to Quilter Cheviot once all closing fees have been applied. Funds should be sent to the following bank details:

**Bank of Scotland**

Sort Code: **12-27-80**

Account Number: **06000101**

Account Name: **Quilter Cheviot Client Account**

Reference:

If funds are held in an alternative currency, please contact the administrator/assistant named above for further information.

**Instructions to current investment manager**

*If you are the applicant, please ignore this box.*

Upon receipt of this transfer request, kindly forward the following information to Quilter Cheviot using the contact details above:

- Valuation including SEDOL and book costs
- CGT Cost History
- Details of disposals made in the current tax year
- Cash Statements
- Other information as requested

**Please refer to this document for my/our transfer instructions.**

**QUILTER CHEVIOT**

Senator House, 85 Queen Victoria Street  
London EC4V 4AB

t: +44 (0)20 7150 4000

w: quiltercheviot.com

Quilter Cheviot and Quilter Cheviot Investment Management are trading names of Quilter Cheviot Limited. Quilter Cheviot Limited is registered in England with number 01923571, registered office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB. Quilter Cheviot Limited is a member of the London Stock Exchange and authorised and regulated by the UK Financial Conduct Authority and as an approved Financial Services Provider by the Financial Sector Conduct Authority in South Africa.