

## Ascentric Client Application Form

Please note that in completing this form you are receiving advice from a Financial Adviser, who is acting on your behalf.

Any missing information may result in either a delay in processing or the return of this application. Should you require any assistance with the completion of this form, please contact your Financial Adviser.

**This form should not be used for an application being made for a Trust, Small Self Administered Scheme, Qualifying Recognised Overseas Pension Scheme or Corporate Client. Please refer to the**

**Ascentric Resources Centre at [www.ascentric.co.uk](http://www.ascentric.co.uk) for the appropriate form.**

**Please return this form, via your Financial Adviser, to Ascentric Client Services Team, Trimbridge House, Trim Street, Bath BA1 1HB.**

**Should you have any questions, please contact your Client Services Team on 0845 600 5360.**

**Please note this form should not be used on or after 6th April 2014.**

### Section 1 Individual Details

Please mark ☒ in the box(es) as appropriate: ☒ Single Application ☒ Two Applications ☒ Joint Account

#### Section 1.1 Single or First Applicant

##### Personal Details

Title

Surname

Forenames(s)

Date of Birth   /   /

National Insurance Number

**If you have a National Insurance number you must provide it.**

You should be able to find your National Insurance number on a pay slip, form P45 or P60, a letter from the HM Revenue & Customs, a letter from the Department of Work and Pensions, or pension order book.

If you do NOT have a National Insurance number, please tick here. ☒

Existing client reference (if applicable)

Nationality

Domiciled

If you live outside the UK and in a European Union (EU) member state, please supply one of the following reportable pieces of information for the EU Savings Directive.

Either your

Tax Identification Number (TIN) – This is a number assigned to you by your Government or local authority. It is the reference number usually used on your tax return.

Or Place of birth (city and country, as on your passport)

City

Country

##### Contact Details

Tel Home

Tel Work

Mobile

Address

Postcode

E-mail\*

\*You will not be able to access your account online, without a valid e-mail address. If you do not provide an email address, any communications to service your account will be sent to you by post.

Are you a US person? ☐ Yes ☐ No

If you have ticked Yes, Ascentric will not be able to accept your application. Please speak to your Financial Adviser.

A US person is a living individual to whom one or more of the following applies:

- Dual citizens of the US and another country
- US citizen even if residing outside the United States
- US passport holder
- Born in the US, unless citizenship is renounced
- Lawful permanent resident of the US
- A “substantially present” person as declared by the US tax regulator

More information can be found in the Ascentric Terms and Conditions.

## Section 1.2 Second Applicant Details

### Personal Details

Title

Surname

Forenames(s)

Date of Birth   /   /

National Insurance Number

### If you have a National Insurance number you must provide it.

You should be able to find your National Insurance number on a pay slip, form P45 or P60, a letter from the HM Revenue & Customs, a letter from the Department of Work and Pensions, or pension order book.

If you do NOT have a National Insurance number, please tick here. ☐

Existing client reference if applicable

Nationality

Domiciled

If you live outside the UK and in a European Union (EU) member state, please supply one of the following reportable pieces of information for the EU Savings Directive.

Either your

Tax Identification Number (TIN) – This is a number assigned to you by your Government or local authority. It is the reference number usually used on your tax return.

Or

Place of birth (city and country, as on your passport)

City

Country

### Contact Details

If your contact details (including e-mail address) are the same as the first applicant, please mark **X** in this box: ☐

Tel Home

Tel Work

Mobile

Address



Postcode

E-mail\*

\*You will not be able to access your account online, without a valid e-mail address. If you do not provide an email address, any communications to service your account will be sent to you by post.

Are you a US person? ☐ Yes ☐ No

If you have ticked Yes, Ascentric will not be able to accept your application. Please speak to your Financial Adviser.

A US person is a living individual to whom one or more of the following applies:

- Dual citizens of the US and another country
- US citizen even if residing outside the United States
- US passport holder
- Born in the US, unless citizenship is renounced
- Lawful permanent resident of the US
- A "substantially present" person as declared by the US tax regulator

More information can be found in the Ascentric Terms and Conditions.

If there are more than two applicants, please complete the remaining details on a supplementary application form available from the Ascentric Resources Centre at [www.ascentric.co.uk](http://www.ascentric.co.uk).

## Section 1.3 Access Rights

What access rights should the account have? Please mark ✕ in the box(es) as appropriate:

If you require Enquiry or Trading access, you must provide an email address in Section 1.1.

Please note, if this is a Discretionary Wrapper, as indicated in Section 2, trading access will not be permitted on this account.

If 'No Online Access' is selected, any communications to service your account will be sent to you by post.

|                  | Single Applicant         | Second Applicant         | Joint Account            |
|------------------|--------------------------|--------------------------|--------------------------|
| No Online Access | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Enquiry Only     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Trading Access   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## Section 1.4 Family Groups

Our Family Group facility enables the Ascentric charges to be based upon the consolidated assets of the group with the charges applied proportionately to each member. To sign up for Family Group charges, all applicants must be immediate family members.

Please mark ✕ in the box that applies to you:

1. More than 1 applicant linked to Family Group ☐

2. Link to an existing Ascentric account ☐

If part 2 of the above applies, please provide appropriate client reference number:

## Section 2 Product Details

### Section 2.1 Single or First Applicant

If you would like a specific name for your Platform Account, please enter here:

If no name is provided, the account holder's name will be used.

Please note that a reserve account can only be opened on applications received with a cheque. Please make cheques payable to **Ascentric Client A/C**.

If a reserve account is required once the account has been opened, these should be requested by e-mailing [payments@ascentric.co.uk](mailto:payments@ascentric.co.uk).

| Wrappers<br>Please mark ✖ in the appropriate box(es) for the Wrapper you wish to open |  | Cash<br>Received with application | Source of funds<br>(Cheque, BACS, Transfer) | Transfer/Re-registration*          |                            | Reserve Account<br>If required, please state the amount applicable | Please mark ✖ in the appropriate box to indicate the wrapper type |                          |
|---|--|-----------------------------------|---|------------------------------------|----------------------------|--|---|--------------------------|
|   |  |                                   |   | Approximate cash to be transferred | Assets to be re-registered |  | Advisory Wrapper**  | Discretionary Wrapper*** |
| General Investment Account  |  | £                                 |   | £                                  | £                          |  |   |                          |
| Stocks & Shares ISA   |  | £                                 |   | £                                  | £                          |  |   |                          |

| Third Party Product Accounts<br>(insert name of third party) | Amount to be received | Source of funds<br>(Cheque, BACS, Transfer) | Please mark ✕ in the appropriate box to indicate the wrapper type |                          |
|--|-----------------------|---|---|--------------------------|
|  |                       |   | Advisory Wrapper**  | Discretionary Wrapper*** |
|  | £                     |   |   |                          |

\*To transfer any investment accounts onto Ascentric please complete the relevant transfer form(s)

\*\*Advisory Wrapper – This allows your adviser to make investments on an advised basis

\*\*\*Discretionary Wrapper – This will be managed solely by your adviser, for which you will have provided your consent

N.B. To speed up the transfer process, always attach your client's latest valuation.

## Section 2.2 Second Applicant

If you would like a specific name for your Platform Account, please enter here:

If no name is provided, the Account Holder's name will be used.

Please note that a reserve account can only be opened on applications received with a cheque. Please make cheques payable to **Ascentric Client A/C**.

If a reserve account is required once the account has been opened, these should be requested by e-mailing [payments@ascentric.co.uk](mailto:payments@ascentric.co.uk).

| Wrappers<br>Please mark ✕ in the appropriate box(es) for the Wrapper you wish to open | Cash<br>Received with application | Source of funds<br>(Cheque, BACS, Transfer) | Transfer/Re-registration*          |                            | Reserve Account<br>If required, please state the amount applicable | Please mark ✕ in the appropriate box to indicate the wrapper type |                          |
|---|-----------------------------------|---|------------------------------------|----------------------------|--|---|--------------------------|
|   |                                   |   | Approximate cash to be transferred | Assets to be re-registered |  | Advisory Wrapper**  | Discretionary Wrapper*** |
| General Investment Account  | £                                 |   | £                                  | £                          |  |   |                          |
| Stocks & Shares ISA   | £                                 |   | £                                  | £                          |  |   |                          |

| Third Party Product Accounts<br>(insert name of third party) | Amount to be received | Source of funds<br>(Cheque, BACS, Transfer) | Please mark ✕ in the appropriate box to indicate the wrapper type |                          |
|--|-----------------------|---|---|--------------------------|
|  |                       |   | Advisory Wrapper**  | Discretionary Wrapper*** |
|  | £                     |   |   |                          |

\*To transfer any investment accounts onto Ascentric please complete the relevant transfer form(s)

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\*\*\*Discretionary Wrapper – This will be managed solely by your adviser, for which you will have provided your consent

N.B. To speed up the transfer process, always attach your client's latest valuation.

## Section 2.3 Joint Applicant

If you would like a specific name for your Platform Account, please enter here:

If no name is provided, the Account Holder's name will be used.

Please note that a reserve account can only be opened on applications received with a cheque. Please make cheques payable to **Ascentric Client A/C**.

If a reserve account is required once the account has been opened, these should be requested by e-mailing [payments@ascentric.co.uk](mailto:payments@ascentric.co.uk).

| Wrappers<br>Please mark ✕ in the appropriate box(es) for the Wrapper you wish to open | Cash<br>Received with application | Source of funds<br>(Cheque, BACS, Transfer) | Transfer/Re-registration*          |                            | Reserve Account<br>If required, please state the amount applicable | Please mark ✕ in the appropriate box to indicate the wrapper type |                          |
|---|-----------------------------------|---|------------------------------------|----------------------------|--|---|--------------------------|
|   |                                   |   | Approximate cash to be transferred | Assets to be re-registered |  | Advisory Wrapper**  | Discretionary Wrapper*** |
| General Investment Account  | £                                 |   | £                                  | £                          |  |   |                          |

| Third Party Product Accounts<br>(insert name of third party) | Amount to be received | Source of funds<br>(Cheque, BACS, Transfer) | Please mark ✕ in the appropriate box to indicate the wrapper type |                          |
|--|-----------------------|---|---|--------------------------|
|  |                       |   | Advisory Wrapper**  | Discretionary Wrapper*** |
|  | £                     |   |   |                          |

\*To transfer any investment accounts onto Ascentric please complete the relevant transfer form(s)

\*\*Advisory Wrapper – This allows your adviser to make investments on an advised basis

\*\*\*Discretionary Wrapper – This will be managed solely by your adviser, for which you will have provided your consent

N.B. To speed up the transfer process, always attach your client's latest valuation.

### Section 3 Client Bank Account Details

Please enter bank account details to which outbound payment(s) should be made and ensure that the form is signed.

This should be a personal bank account belonging to the account holder(s).

For any queries, to confirm details surrounding payment instructions or to set up regular client payments, please contact your Client Services Team on 0845 600 5360.

#### Section 3.1 First Applicant or Joint Bank Account Details

**Failure to provide bank details at the time of application may result in delays when making future payments.**

Names of account holder(s)

  


Bank/Building Society account number

Branch sort code

**Full Name and Postal address of your Bank or Building Society**

Name

Bank/Building Society

Address




Postcode

#### Section 3.2 Second Applicant Bank Account Details

Please mark ✖ in the box if bank account details are the same as those in Section 3.1.

☐

Names of account holder(s)

  


Bank/Building Society account number

Branch sort code

**Full Name and Postal address of your Bank or Building Society**

Name

Bank/Building Society

Address




Postcode

#### Section 3.3 Income Payment Instructions

##### Natural Income Payment Instructions

Please mark ✖ in the box(es) as appropriate:

No income withdrawal (transfer to deposit)

☐

Leave in income account pending instructions

☐

Withdraw the Natural Income

(This will be paid out upon receipt unless otherwise indicated below)

☐

Wrapper(s)

Monthly

☐

Quarterly

☐

Half Yearly

☐

Annually

☐

##### Regular Withdrawal Instructions

Payment from deposit (or reserve account where applicable) and withdraw the following fixed amount:

Amount

£

Monthly

☐

Quarterly

☐

Half Yearly

☐

Annually

☐

Wrapper(s)

Start Date

/  /

N.B. If you do not indicate your preference, any income received will be held in an Income Account pending further instructions.

## Section 4 Financial Adviser Details

Please select the relevant option by marking **X** in the appropriate box below:

|   |  |   |   |
|---|--|---|---|
| <input type="checkbox"/> <b>1. Initial Adviser Charge</b><br><br>of investment<br><input type="text"/> %                          | <input type="checkbox"/> VAT to be applied?<br><br>fixed amount<br>(applicable per payment in)<br><input type="text"/> £ | <b>Applies to:</b><br><br><b>A.</b> Cash Lump Sum <input type="checkbox"/><br><b>B.</b> Cash Transfers <input type="checkbox"/><br><b>C.</b> Stock Transfers <input type="checkbox"/>   | N.B. If you do not tick your charge options, the percentage you have indicated will be applied to all boxes A to C. |
| <input type="checkbox"/> <b>2. Regular Contributions Charge (by Direct Debit only)</b><br>of investment<br><input type="text"/> % | <input type="checkbox"/> VAT to be applied?  | <b>Applies to:</b><br><br><b>A.</b> Regular Contributions <input type="checkbox"/>  | N.B. Charges can only be applied on regular contributions from the client(s).                                       |
| <input type="checkbox"/> <b>3. Trading Charge</b><br><br>of investment<br><input type="text"/> %                                  | <input type="checkbox"/> VAT to be applied?  | <b>Applies to:</b><br><br><b>A.</b> Single Fund Buy Trades <input type="checkbox"/><br><b>B.</b> Switch Fund Buy Trades <input type="checkbox"/>  | N.B. If you do not tick your charge options, the percentage you have indicated will be applied to boxes A to B.     |
| <input type="checkbox"/> <b>4. Ongoing Adviser Charge</b><br><br>of investment<br><input type="text"/> %                          | <input type="checkbox"/> VAT to be applied?<br><br>annual fixed amount<br><input type="text"/> £                         | <b>Applies to:</b><br><br><b>A.</b> Collectives (incl. Investment Trusts, ETFs & FTDs) <input type="checkbox"/><br><b>B.</b> Cash <input type="checkbox"/><br><b>C.</b> Stocks and Shares <input type="checkbox"/><br><b>D.</b> Non – Custody Assets <input type="checkbox"/> | N.B. If you do not tick your charge options, the percentage you have indicated will be applied to all boxes A to C. |

**N.B. Please read below for further information to support charge requests:**

1. The Initial Adviser Charge must be requested by completing the Online Payments Instruction.
2. The Regular Contributions Charge must be requested via the Direct Debit Instruction form.
3. The Initial Adviser Charge for Trading can be selected at the point of dealing.
4. Ad hoc charges must be requested by completing an ad hoc adviser charge form, available on our website.
5. All charges entered on this form will be stored on our system and will be used to validate all charge requests made by you or set up on your behalf.
6. Where VAT has been selected, it will be applied on top of the charge calculations.
7. Ongoing Adviser Charges will be deducted monthly in arrears on a pro-rata basis.

## Section 4.1 Financial Adviser Declaration

To be completed by your adviser.

I hereby confirm that my client(s) has read the following documentation:

- Ascentric Terms & Conditions
- Ascentric Key Features Document
- Ascentric Charging Schedule

I/We confirm that:

I/We have obtained evidence to verify the identity of my client(s), which meets the standard evidence criteria set out within the guidance for the UK Financial Sector issued by Joint Money Laundering Steering Group. I understand and agree that Ascentric are reliant on me having completed this money laundering check. I also agree to provide you with copies of the ID relied upon should that be required for legal or compliance audit purposes and agree that Ascentric may need to carry out a further risk assessment should my client not be physically present for identification purposes and that Ascentric will apply enhanced due diligence checks for politically exposed persons including checks against the HMRC sanctions list.

Please tick this box if your clients(s) identity was verified without **face-to-face** contact.

☐

N.B. The Registered Individual or Firm Principal/Director must sign and date.

Firm Name

FCA Firm Ref No.

Registered Individual (RI)

FCA Individual Reference Number

Authorised Signature (must be signed by the RI)

Date

## Section 5 Client Declaration

I/We hereby confirm that I/We have read and agree with all the information provided with this form and that I/We have read and agree to the Ascentric Terms and Conditions.

I/We confirm the following:

I/We have read and agree with all the information provided with this form.

I/We have read and agree to the Terms and Conditions.

I/We confirm that the bank account details in Section 3 are those of my/our bank account and that I/we have given my/our Financial Adviser instruction to use this account for cash withdrawals.

I/We declare that this application has been completed to the best of my knowledge and belief.

I/We confirm that my/our Financial Adviser has authorisation to deduct their charges as detailed in Section 4.

## Section 5.1 Applying for an ISA

I apply to subscribe to a stocks and shares ISA for the tax year 2013/2014 and each subsequent year until further notice.

For this purpose I declare that:

- All subscriptions made, and to be made, belong to me
- I am 18 years of age or over
- I have not subscribed and will not subscribe more than the overall annual subscription limit in total to a cash ISA and a stocks and shares ISA in the same tax year
- I have not subscribed and will not subscribe to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties
- I will inform Investment Funds Direct Ltd, which acts as the ISA Manager for Ascentric, if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties

– I will inform Investment Funds Direct Ltd of any other changes in my circumstances affecting any of the information on this application form

– I declare that I am not making this application on behalf of a non-individual entity

I authorise Investment Funds Direct Limited to:

- Hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash
- Make on my behalf any claims to relief from tax in respect of ISA investments

I agree to the ISA Terms and Conditions.

I declare that this application has been completed to the best of my knowledge and belief.

If you are transferring an ISA to us, you will need to complete the ISA Product Transfer Form, details of which can be found in the Resource Centre on [www.ascentric.co.uk](http://www.ascentric.co.uk).

## Data Protection Act 1998

Investment Funds Direct Limited is a member of the Royal London Group. We ("Investment Funds Direct Limited" or "IFDL") will use the information supplied on this form (including any sensitive personal information) and information we obtain from other sources for:

- Administering your investments
- Customer Services
- Dealing with your APA
- Statistical Market Research
- To prevent and detect crime

In addition, solely in order for us to carry out business effectively, that information may also be passed to:

- Our regulator
- Auditors
- Legal and financial advisers
- Other financial institutions connected with the provision of your investments (e.g. fund managers)
- Authorised agents
- Third party service providers
- Authorised Law enforcement agencies and Local Authorities

However, your personal information will not be passed to other companies outside the Royal London Group unless we have your permission to do so, are under a legal obligation or duty to do so or it is required to provide the services requested.

In order to ensure the efficient running of the investment, we may share the information provided by you with other data processors acting on our behalf

and who may be outside the European Economic Area. In this event we are bound by our obligations under the Data Protection Act to ensure your information is adequately protected.

If you provide us with information about other investors, you confirm that they have appointed you to act for them to consent to the processing of their personal data and that you have informed them of our identity and the purposes (as set out above) for which their personal data will be processed.

We may carry out an identity authentication check to verify your identity. This involves checking the details you supply against those held on databases that may be accessed by the reputable third party company that carries out checks on our behalf. This includes information from the Electoral Register and fraud prevention agencies. We will use scoring methods to verify your identity. A record of this search will be kept and may be used to help other companies to verify your identity. We may also pass information to other organisations involved in the prevention of fraud and money laundering, to protect ourselves and our customers from fraud and theft. If false or inaccurate information and fraud is suspected, this will be recorded and may be shared with other organisations.

Under the terms of the Data Protection Act 1998, you are entitled to ask for a copy of the information we hold on you. A fee may be charged for this service. In addition, if any of the information we hold on you is inaccurate or incorrect, please let us know and we will correct it. Requests should be made in writing to: Investment Funds Direct Limited, Trimbridge House, Trim Street, Bath BA1 1HB.

We will not use your personal data to market to you, nor will we pass this data on to other organisations for marketing purposes.

**Applicant Name (1) (Block Capitals)**

**Signature**

**Date**

 /  / 

**(If applicable)**

**Applicant Name (2) (Block Capitals)**

**Signature**

**Date**

 /  / 
