

Pension Account Opening Form (Platform)



PLEASE PRINT CLEARLY IN BLOCK CAPITALS AND COMPLETE ALL APPLICABLE SECTIONS OF THIS FORM.

Section 01 Trustee Details

Name of Trustee:

Name of Account:

Reference Number:

Company Address (please note we cannot accept a PO Box number or a care of (C/O) address):

City:

County (or country if not UK):

Postcode:

Email:

Telephone:

Section 02 Trustee Bank Details

All payments will be made directly to this account. **Please note we are not able to open an account without the entity bank details.**

Bank:

Account Name:

Sort Code: / /

Account Number:

Account Reference / Roll Number (if applicable):

Section 03 Individual Member Details

Title: First Name(s): Surname:

Date of Birth (DD/MM/YYYY): / /

Nationality:

National Insurance Number: / /

Permanent Residential Address (please note we cannot accept a PO Box number or a care of (C/O) address):
 City:

County (or country if not UK): Postcode:

When did you move to this address? / /

Home / Work Number: Mobile Number:

Email:

Section 04 Financial Adviser Details

You confirm that you have appointed the following Financial Adviser to act on your behalf under a separate agreement.

Firm:

Full name and title of contact at Financial Adviser:

Section 05 Your Financial Adviser Relationship

Please tell us the basis on which your Financial Adviser will be acting:

Advisory Your Financial Adviser will seek your approval to make investment decisions.
Contract notes will be available to view online.
If you would also like copies posted to you, please tick here

Discretionary You have authorised your Financial Adviser to make investment decisions on your behalf.
Contract notes will be available to view online.

Section 06 Fees and Charges

A. 7IM fees

Please refer to the Fees and Charges information made available to you.

B. Financial Adviser charges

By signing this form, you:

- confirm that you have discussed and agreed with your Financial Adviser each of the charges set out below;
- instruct 7IM to deduct the charges from your account(s) and to pay the amounts deducted to your Financial Adviser or as they otherwise instruct. In making these payments 7IM will be acting as the agent of your Financial Adviser;
- authorise 7IM to accept any instruction from your Financial Adviser as to which portfolio or account to first deduct fees and charges from; and
- agree that unless and until 7IM receives written notice from you to amend or cancel the instructions given below, 7IM will continue to make payments to your Financial Adviser as set out in this form.

(I) Initial fees

You agree to your Financial Adviser receiving an initial fee of:

Percentage Value % OR Fixed Value £

of all new contributions.

(II) Ongoing fees

You agree to your Financial Adviser receiving ongoing fees in recognition of an ongoing service of:

Percentage Value % OR Fixed Value £

per annum per annum

of the portfolio value*.

*Calculated using average daily portfolio values.

Collection of 7IM and ongoing Financial Adviser fees

Please note that 7IM will take any ongoing fees from the account.

C. Family Fee Group

Close family members may have their accounts grouped together in order to take advantage of reduced tiered fees, where applicable.

Please provide the name(s) of your family member(s) and their relationship to you.

Please provide their account number(s), if known.

Section 07 Reporting currency

The reporting for all your accounts will be in Sterling. If you would prefer this to be in US Dollar or Euro please specify below. **If you are an existing client your reporting currency cannot be changed therefore please move on to the next section.**

US Dollar Euro

Section 08 Financial Adviser Declarations

By signing this form below, your Financial Adviser declares that:

- the information provided in this form correctly reflects the contractual terms of your Financial Adviser’s appointment under a separate agreement in place between you and your Financial Adviser;
- all instructions given by the Financial Adviser will be in accordance with those terms;
- your Financial Adviser has all authorisations necessary under applicable law and regulation to act as appointed and will remain so authorised;
- your Financial Adviser will notify us of any changes to its authorisation, including any disciplinary action taken against it, relevant to this appointment;
- where you are applying to open a 7IM account for a pension or bond wrapper, your Financial Adviser has provided appropriate advice to you regarding the suitability for you of the wrapper product in accordance with FCA Rules and FCA suitability requirements; and
- the signatory has the necessary authorisation to make these declarations and sign this form on behalf of the Financial Adviser.

Financial Adviser signature is required for the completion of this form

Financial Adviser Signature:

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Signed by (please PRINT name):

Date:

Section 09 Member Declarations

This application form, if accepted by us, forms part of a legally binding agreement between you and us relating to the 7IM account opened for your pension wrapper. The other parts of the agreement are contained in the applicable 7IM Terms and Conditions for the chosen 7IM investment service and the Fees and Charges provided to you.

You should read these documents and this section carefully before completing and signing this form. If there is anything you do not understand, please ask for further information.

By signing this form, you make the following declarations:

- a. you are asking the trustee specified in this form to:
 - i. apply to open a 7IM account for your pension wrapper;
 - ii. appoint 7IM to provide the chosen 7IM investment service for the purpose of this 7IM account; and
 - iii. instruct 7IM to appoint a custodian to hold the money and investments relating to this 7IM account, in accordance with the 7IM Terms and Conditions for the chosen investment service;
- b. you understand and agree that when we notify you that we have accepted this application and opened this 7IM account, you will be bound by the terms of our agreement with you, as amended from time to time;
- c. you acknowledge that your personal data will be processed in accordance with our Privacy Policy, which is available on our website www.7im.co.uk;
- d. you confirm that, to the best of your knowledge and belief, the information, declarations and confirmations given by you in this form are true, accurate and complete; and
- e. you will notify 7IM immediately in writing of any changes to the information provided and any other relevant information.

Your signature is required for the completion of this form

Signature:

Signed by (please PRINT name):

Date:

Authority to sign¹:

¹If the person signing this form is not the named applicant, please indicate the capacity in which you are signing this form, e.g. as attorney or Court appointed deputy. If signing as an attorney or Court appointed deputy, please also ensure that you have provided us with a certified copy or original of the power of attorney or Court order.

Section 10 Trustee Declarations

This application form, if accepted by us, forms part of a legally binding agreement between you and us relating to the 7IM account opened for you, and which incorporates (amongst other things) the applicable 7IM Terms and Conditions for the chosen 7IM investment service. The 7IM Terms and Conditions are available on our website at www.7im.co.uk.

You should read the 7IM Terms and Conditions and this section carefully before completing and signing this form. If there is anything you do not understand, please ask for further information.

By signing this form, you make the following declarations:

- a. you:
 - i. apply to open the 7IM account specified in this form;
 - ii. appoint 7IM to provide the chosen 7IM investment service for the purpose of your 7IM account; and
 - iii. instruct 7IM to appoint a custodian to hold the money and investments relating to your 7IM account;
 - iv. (where relevant) authorise 7IM to accept investment instructions for your 7IM account from the scheme member and/or their Financial Adviser, in accordance with the 7IM Terms and Conditions for the chosen investment service;
- b. you understand and agree that when we notify you that we have accepted your application and opened your 7IM account, you will be bound by the terms of our agreement with you, as amended from time to time;
- c. you acknowledge that personal data will be processed in accordance with our Privacy Policy, which is available on our website www.7im.co.uk;
- d. you confirm that, to the best of your knowledge and belief, the information, declarations and confirmations given by you in this form are true, accurate and complete;
- e. you will notify 7IM immediately in writing of any changes to the information provided and any other relevant information; and
- f. the signatory(ies) has/have the necessary authorisation to make these declarations and sign this form on behalf of the scheme trustee.

Your signature(s) is required for the completion of this form

Authorised Signatory:

Signed by (please PRINT name):

Date:

Your signature(s) is required for the completion of this form

Authorised Signatory:

Signed by (please PRINT name):

Date:

By opening this account and signing here, the account owner:

- a. represents and warrants that he/she/it is not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended, or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 4.7; and
- b. agrees to inform us if there are any changes in circumstances which would mean that this representation is no longer accurate, including if the account owner becomes a resident of the U.S.

Section 11 Identity Verification

Regulations require us to confirm the identity and address of all our clients. Where possible, we will carry out an electronic check of the personal data you have provided. Where we are unable to verify your identity electronically, we will contact you and request one form of current identification from each list below. We can only accept originals or certified copies.

**List A:
Valid Personal Identification which incorporates your full name**

- Passport / national identity card
- Photocard driving licence (full or provisional)
- Firearms certificate / licence
- Other government issued document

**List B:
Address Verification
(*issued within the last three months)**

- Old style full UK driving licence
- Local authority issued letter / statement / bill*
- Solicitor's letter*
- Tax bill
- Utility bill*
- Bank / credit card statement*
- State pension or other government issued document*