

Trust Account Opening Form (Self Invest)



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

For Trusts only

Section 01 Entity Details

Please select an account type:

Trust Bare Trust RATS QROPS SSAS Other (Please specify):

Name of Account:

Legal Entity Identifier (LEI) Number (not required for Bare Trusts):

Country where trust or scheme was created:

Tax Residency of Trust or Scheme

Country / Countries of Tax Residence

Tax Identification Number (TIN)

If a TIN is not available please select **one** of the following reasons:

- The country where you are liable to pay tax does not issue TINs to its residents.
- No TIN is required. (Note only select this reason if the authorities of your country of tax residence do not require the TIN to be disclosed).
- You are otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN in the box below:

UK legislation requires us to collect information about your tax residency. In certain circumstances we may be obliged to share information on your account with HMRC who may in turn share this information with tax authorities of other jurisdictions. If you have any questions about your tax residency or Entity Classification, please contact your tax adviser. You may also refer to the Frequently Asked Questions which are available on our website www.7im.co.uk

Section 02 Classification of Trust or Scheme

Please complete either **Section A** or **Section B**

Section A – Financial Institution (FI)

(i) Classification - Please tick **ONE** of the following options below:

- Investment Entity - An investment entity located in a non-participating jurisdiction and managed by another financial institution
- Investment Entity - Other Investment Entity
- Depository Institution, Custodial Institution or Specified Insurance Company

(ii) Global Intermediary Identification Number (**GIIN**)

Please provide the entity's GIIN

/ / /

If the entity is unable to provide a GIIN, please tick **ONE** of the below reasons:

- The entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Please provide the sponsor's name and sponsor's GIIN:

Sponsor's name

Sponsor's GIIN

- Exempt Beneficial Owner
- Certified Deemed Compliant Foreign Financial Institution
- Non-Participating Foreign Financial Institution
- Excepted Foreign Financial Institution

Section B – Non-Financial Entity (NFE)

Please tick **ONE** of the following options below:

- Active NFE - a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation. Please provide the name of the established securities market and, where appropriate, the name of the regularly traded corporation.

- Active NFE – a Government Entity
- Active NFE – an International Organisation
- Active NFE – other (for example a start-up NFE or a non-profit NFE)
- Passive NFE

Section 03 Main Contact - Enter the details of the main contact on this account

Title: First Name(s): Surname:

Position / Role:

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:

Please state correspondence address if different from Permanent Residential Address:

City:

County (or country if not UK): Postcode:

Email:

Telephone:

Section 04 Corporate Trustee / Scheme Administrator / Provider (if applicable)

Name: Country of Registration:

Company Registration Number: Regulator (if applicable):

Address: City:

County (or country if not UK): Postcode:

Are operations carried out in any other countries? Yes No

If yes, please list country(ies) below:

Full name of employer (SSAS only):

Section 05 Individual Details

Please provide details of all individuals in relation to the trust. If the trust classification is Passive NFE, we will require details of all individuals who exercise ultimate effective control over the trust.

Please ask for an additional sheet if necessary.

Person One (tick all that apply)

Individual Trustee Settlor Named Beneficiary Other (please specify):

Same as Main Contact? Yes No

Title: First Name(s): Surname:

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

Nationality:

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:

Tax Residency (please only complete if Classification of Trust or Scheme is Passive NFE)

Are you a US Citizen? Yes No

Please list all countries in which you are currently resident for tax purposes and the associated Tax Identification Number (TIN) for that jurisdiction. A UK tax resident for example, should provide a UK National Insurance Number or Unique Taxpayer Reference (UTR).

Country / Countries of Tax Residence	Tax Identification Number (TIN)
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

If a TIN is not available please select **one** of the following reasons:

- The country where you are liable to pay tax does not issue TINs to its residents.
- No TIN is required. (Note only select this reason if the authorities of your country of tax residence do not require the TIN to be disclosed).
- You are otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN in the box below:

ACCOUNT OPENING FORM – SELF INVEST

Person Two (tick all that apply)

Individual Trustee Settlor Named Beneficiary Other (please specify):

Title: First Name(s): Surname:

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

Nationality:

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:

Tax Residency (please only complete if Classification of Trust or Scheme is Passive NFE)

Are you a US Citizen? Yes No

Please list all countries in which you are currently resident for tax purposes and the associated Tax Identification Number (TIN) for that jurisdiction. A UK tax resident for example, should provide a UK National Insurance Number or Unique Taxpayer Reference (UTR).

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- You are otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN in the box below:

ACCOUNT OPENING FORM – SELF INVEST

Person Three (tick all that apply)

Individual Trustee Settlor Named Beneficiary Other (please specify):

Title: First Name(s): Surname:

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

Nationality:

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:

Tax Residency (please only complete if Classification of Trust or Scheme is Passive NFE)

Are you a US Citizen? Yes No

Please list all countries in which you are currently resident for tax purposes and the associated Tax Identification Number (TIN) for that jurisdiction. A UK tax resident for example, should provide a UK National Insurance Number or Unique Taxpayer Reference (UTR).

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ACCOUNT OPENING FORM – SELF INVEST

Person Four (tick all that apply)

Individual Trustee Settlor Named Beneficiary Other (please specify):

Title: First Name(s): Surname:

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

Nationality:

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:

Tax Residency (please only complete if Classification of Trust or Scheme is Passive NFE)

Are you a US Citizen? Yes No

Please list all countries in which you are currently resident for tax purposes and the associated Tax Identification Number (TIN) for that jurisdiction. A UK tax resident for example, should provide a UK National Insurance Number or Unique Taxpayer Reference (UTR).

Country / Countries of Tax Residence	Tax Identification Number (TIN)
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- The country where you are liable to pay tax does not issue TINs to its residents.
- No TIN is required. (Note only select this reason if the authorities of your country of tax residence do not require the TIN to be disclosed).
- You are otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN in the box below:

Section 06 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 07 Dividends and Income

Payments will normally be made on the first working day of the month.

What would you like us to do with the income from your investments?

Retain in account

Pay out all income

Pay out a fixed amount of £

Please specify frequency: Monthly / Quarterly / Half Yearly / Annually

Section 08 Fees and Charges

A. 7IM fees

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

Section 09 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 10 Declarations

This application form, if accepted by us, forms part of a legally binding agreement between you and us relating to the 7IM account(s) opened for you. 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:
 - i. apply to open the 7IM account(s) specified in this form;
 - ii. appoint 7IM to provide the chosen 7IM investment service for the purpose of your 7IM account(s); and
 - iii. instruct 7IM to appoint a custodian to hold the money and investments relating to your 7IM account(s), in accordance with the 7IM Terms and Conditions for your chosen investment service;
- b. you understand and agree that when we notify you that we have accepted your application and opened your 7IM account(s), 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;
- 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 applicant.

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 identify our clients. The information listed here are our minimum requirements, we may request further documentation.

- Certified copy of the document evidencing formation of the trust / scheme e.g. Trust Deed or Will
- Certified copies of any subsequent deeds of amendment which shows appointment of current trustees, removal of previous trustees (if applicable)
- If there is a corporate trustee, an original / certified copy of list of authorised signatories
- Recent bank statement for the trust bank account (if available)

We will carry out an electronic check of the personal data you have provided for any individuals named on the application form including trustees, beneficiaries. Where we are unable to verify individuals electronically (e.g. non UK individuals), we will request one form of identification from each list below. We can only accept originals or certified copies. If you are unable to provide the standard documentation please contact us for further guidance.

**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*