

# JUNIOR ISA (JISA) ACCOUNT OPENING FORM (PLATFORM)

For personal clients opening a Junior Individual Savings Account (JISA) provided by Seven Investment Management LLP (7IM). Please note you must have parental/ guardian responsibility for the child named in this application and be a 7IM account holder.

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

## Section 01 Child's Details

Title:  First Name(s):  Surname:

Date of Birth (DD/MM/YYYY):  /  /   
National Insurance Number:  /

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:

Is the child a US Citizen?  Yes  No

**If the child is or becomes a US citizen or otherwise subject to US tax on non-US income and gains, we will require you to complete an IRS W-9 Form and a supplementary declaration.**

The child named above will be the beneficial owner of the JISA investments.

## Section 02 Registered Contact's Details

You are the registered contact for this JISA.

Account Number:

Please tick **ONE** of the following boxes:

- You are the Parent of the child named  
 You are the Legal Guardian of the child named  
 You otherwise have Parental Responsibility of the child named

Title:  First Name(s):  Surname:

Date of Birth (DD/MM/YYYY):  /  /   
National Insurance Number:  /

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:

**Section 03 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 04 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 05 Dividends and Income**

Withdrawals from JISA accounts are generally not permitted. Dividends and Income will be retained within the JISA account.

**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 (excluding regular contributions by direct debit).

**(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**

We will deduct cash for the payment of fees from the JISA. If you would prefer us to first look to deduct fees from another 7IM account, please provide account number below.

Account Number:

Name of account holder:

#If the 7IM account number given does not belong to the person signing this form, we will require the account holder's written authority.

**Section 07 JISA Declaration**

I apply to subscribe for a Junior Stocks & Shares ISA for the tax year 20   to 20   and each subsequent year until further notice.

**I declare that:** (Please tick **ONE** of the following boxes)

- I am the child
- I have parental responsibility for the child.

- I am 16 years of age or over.
- I will be the Registered Contact for the JISA.
- The child does not hold a Child Trust Fund.
- The child is a resident in the UK, or is a UK Crown servant, a dependant of a UK Crown servant or is married to/ in a civil partnership with a UK Crown servant.
- I have not subscribed and will not subscribe to another JISA of this type (a Stocks & Shares JISA) for this child.
- I am not aware that this child has another Stocks & Shares JISA.
- I am not aware of other JISA subscriptions that will result in this child exceeding the annual limit.
- I will not knowingly make subscriptions to JISAs for this child that will result in the subscription being exceeded.
- I acknowledge that I may be required to provide additional information or documentation to establish that I have parental responsibility for the child.

**I authorise 7IM:**

- to hold the child's subscriptions, JISA investments, interests, dividends and any other rights or proceeds in respect of those investments and cash; and
- to make on the child's behalf any claims to relief from tax in respect of JISA investments.

**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 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. 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 specified in this form;
  - ii. appoint 7IM to provide the chosen 7IM investment service for the purpose of the 7IM account; and
  - iii. instruct 7IM to appoint a custodian to hold the money and investments relating to the 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 the 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](http://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(s) is required for the completion of this form

**Registered Contact Signature:**

Signed by (please PRINT name):

Date:

Authority to sign<sup>1</sup>:

<sup>1</sup>If 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.

**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.