JHAY0644A

Instruction to Trade Form

(For Modular iSIPP, Private Client SIPP and Wrap SIPP only)

Application guidelines

This form should be used to:

- Buy new investments
- Buy additional ('top up') investments within an existing policy
- Sell investments
- Switch investments within one fund provider
- Cancel or commence regular trades.

Please note this form is not appropriate for Investment Centre funds or investment manager/stockbroker trades.

For further information on the investments permitted in your product, please speak to your financial adviser or refer to your Permitted Investments List, a copy of which is available on our website at www.jameshay.co.uk or on request.

Please read the Important Notes on page 5 before proceeding, and ensure all sections are fully completed. If you do not fully complete this form, your trade may be delayed.

Please complete this form in BLOCK CAPITALS and return it by:

- Post to James Hay Partnership, Dunn's House, St Paul's Road, Salisbury, SP2 7BF
- Secure Message through James Hay Online.

If you require any assistance, please call your Customer Support Team or our general enquiry number on 03455 212 414.

Trades placed without financial advice

Target market

Before deciding to invest, you should consider the investment provider's target market for your chosen investment and whether your requirements are in accordance with this. This can be obtained from the investment provider. James Hay will not assess whether you meet the investment provider's target market and therefore whether the investment is appropriate for your needs – you need to consider this yourself.

Complex Products

If you are investing in what is referred to as a Complex Product then you must have received advice in respect of the investment from a regulated financial adviser. James Hay will not allow investments in Complex Products without advice having been given. Please see your product's Permitted Investments List for more details on Complex Products.

Trades placed with financial advice

Target market

As part of the process of providing advice to you, your financial adviser will consider the investment provider's target market and whether your requirements meet this when making their recommendation to you. James Hay will not make any assessment of whether you meet the target market and therefore whether the investment is appropriate for your needs.

1a Personal details

Applicant to complete

Full name	Product number	Wrap number (if applicable)

1b Financial adviser details

Applicant to complete

Company	Email
Contact name	Telephone number
Firm's Financial Conduct Authority (FCA) authorisation number	Fax number

1c Investment details

Applicant to complete

Do you wish to use this form to
(more than one option may be ticked):

- Buy a new investment ☐
- Buy additional ('top up') investments within an existing policy ☐
- Sell investments ☐
- Switch investments within one fund provider ☐
- Commence regular trades ☐
- Cancel regular trades ☐

Please now complete Section 2 and sign the declaration in Section 3.

Please complete a separate Section 2 for each different fund provider.

2 To the fund provider named below

Applicant to complete

Please complete a separate Section 2 of this form for each fund provider, ensuring you complete the fund provider's full name and address below.

Fund provider name **(Mandatory)**

Fund provider address

Fund provider policy/account number(s) **(Mandatory)**

Postcode

Do you wish to sell all holdings with your provider, and close the account? Yes ☐ No ☐

James Hay hereby instructs you (the above named fund provider) to undertake the following transactions:

These fields are mandatory. Failure to complete them will result in the rejection of your form, and a delay in your trade.							Only complete for regular trades		
Buy (top up), sell, switch from or switch to, cancel regular trade? (please specify one)	Fund name	Fund Code (ISIN or Sedol)	Type of unit/share- Accumulation or Income (please state A or I)	Do you want income reinvested? Y/N [1]	Gross cash amount to be invested/sold	% of fund to be sold/ purchased	Amount of regular sale/buy required	Frequency of regular sale/buy [2]	Commencement date [3]
					£	%	£		22 /_ _/_ _ _ _
					£	%	£		22 /_ _/_ _ _ _
					£	%	£		22 /_ _/_ _ _ _
					£	%	£		22 /_ _/_ _ _ _
					£	%	£		22 /_ _/_ _ _ _
					£	%	£		22 /_ _/_ _ _ _

[1] If not completed, income will be paid or reinvested as per the fund manager's default for that fund.

[2] Monthly, quarterly, half-yearly or annually. For regular investments we will also need a direct debit mandate.

[3] If you have chosen a regular sale, the date for receiving proceeds will be the 22nd of the month.

For financial advisers – if investment level adviser charges are required:

Initial %

Recurring %

The above adviser charges are to be paid by the fund manager ☐

The above adviser charges are to be paid by James Hay (on Buys only) and deducted from the investment amount ☐

The above adviser charges are to be paid by James Hay (on Buys only) and deducted from the SIPP/ Product Bank Account ☐

Any adviser charges must have already been authorised by the client.

Additional notes:

For sales only:

If a fund provider sale charge is applicable, please proceed with the sale without advising James Hay of the level of the charge.

Yes ☐ No ☐

If **No**, please advise James Hay of the amount of the charge before making the sale.

If there is a fund provider charge levied for electronic transfer of funds to James Hay, please proceed with the instruction, deducting the charge from the surrender proceeds.

Yes ☐ No ☐

If **No**, please send proceeds by Faster Payments or cheque, whichever payment carries no charge.

3 Client declaration

Client to complete

Client

I confirm the instructions in Sections 1 and 2.

I accept that it is my responsibility to provide James Hay with the correct investment application form from the fund provider, if required, and I am liable for any delays if I do not do this.

I accept that James Hay will endeavour to process my trade instruction within 4 business days (day of receipt +4 business days) of receiving a valid investment instruction and application, sale or switch form but that this is not guaranteed.

I accept that if Section 2 is not fully completed, or is in James Hay's reasonable opinion unclear, James Hay may reject the instruction and will not be liable for any delays this may cause.

I accept that James Hay will rely on the information provided in Section 2 and will forward this section on to the fund provider without amendment.

I confirm that I have read and agreed to the Terms and Conditions relating to the investment being made as supplied by the investment provider. I accept that by making this investment, James Hay are not confirming the suitability of the investment for my individual circumstances.

If I am investing in a UCITS fund, I certify that I have either:

- printed a copy of the current version of the Key Investor Information Document (KIID) or Key Information Document (KID)(as appropriate); or
- saved an electronic copy of the current version of the KIID or KID (as appropriate).

I confirm that I am not a US Person and I am eligible, under the terms, to invest in the chosen fund(s).

I have received financial advice from my appointed financial adviser before making the decision to instruct this trade.

Yes ☐ No ☐

Important note for clients placing trades without an appointed financial adviser on their product:

James Hay recommends that all clients receive financial advice from a regulated financial adviser before placing any trades. If you do not have a financial adviser appointed on your product who is advising you in relation to this trade, you must sign the following declaration to confirm you acknowledge this and accept the risks in proceeding without having taken financial advice. For certain types of investment, known as Complex Products, you must have received financial advice before investing.

I confirm and accept that where no financial adviser is appointed:

- it is my responsibility to ensure I have read the correct documentation associated with the investment I am trading in.
- I have read and agreed to the terms of the investment.
- I have considered and accept the risks associated with this investment.
- the investment I am trading in aligns with my attitude to risk, my investment goals, my liquidity needs and my capacity for loss.
- I have not received financial advice before placing this trade and I am proceeding at my own risk.
- I have considered the fund(s) target market(s) as provided by the investment provider(s) and whether I fit in this prior to making the decision to invest, and acknowledge that James Hay will not make any assessment of this.

Client

Signature

Date

D D / M M / Y Y Y Y

3 Financial adviser declaration (where instructing on behalf of their client)

Financial adviser to complete

To be completed by the appointed financial adviser (if instructing on their client's behalf)

- I hereby confirm the instructions in Sections 1 and 2.
- I accept that it is my responsibility to provide James Hay with the correct investment application form from the fund provider, if required, and I am liable for any delays if I do not do this.
- I accept that James Hay will endeavour to process my trade instruction within 4 business days (day of receipt +4 business days) of receiving a valid investment instruction and application, sale or switch form but that this is not guaranteed.
- I accept that if Section 2 is not fully completed, or is in James Hay's reasonable opinion unclear, James Hay may reject the instruction and will not be liable for any delays this may cause.
- I accept that James Hay will rely on the information provided in Section 2 and will forward this section on to the fund provider without amendment.
- I confirm that I have provided my client with the terms and conditions relating to the investment being made as supplied by the investment provider.
- I accept that by making this investment, James Hay are not confirming the suitability of the investment for my client's individual circumstances.
- I confirm that if my client is investing in a UCITS fund, I have provided my client with a copy of the Key Investor Information Document (KIID) or Key Information Document (KID), as appropriate (and any other documentation required under the UCITS IV Directive).
- I confirm that my client is not a US Person and confirm that my client is eligible, under the terms, to invest in the chosen fund(s).
- I confirm that I have provided financial advice to my client in respect of this transaction.
- I confirm I have considered the fund(s) target market(s) as provided by the investment provider(s) and whether my client fits this, as part of the advice process.

Financial adviser

Signature

Date

D D / M M / Y Y Y Y

Important notes

IF YOU WISH TO BUY NEW INVESTMENTS

You will need to send us the appropriate investment application form from the fund provider, having completed the amount to be invested, the fund choice and adviser charges details. As the investment will be made in our name, we will complete the rest of the investment application form.

For all funds contained within this instruction, please access and read the current version of the KID/KIID for UCITS funds or Simplified Prospectus for other funds, where available. These documents are available from the fund provider directly.

FOR TOP UPS, SALES OR SWITCHES

Some fund providers will require their own top up, sale or switch forms to be completed. Please provide any forms required by the fund provider, having completed the policy number, amount to be purchased, sold or switched and the chosen funds. As the investment is held in our name, we will complete the rest. If you are unsure whether the fund provider requires their own form to be completed, please contact the fund provider directly.

ADVISER CHARGES

If adviser charges are required on these investments, please complete the relevant fields in Section 2 and indicate whether you require us or the fund manager to pay them.

The maximum adviser charge that can be applied is 5% (including VAT). If the fund manager is to pay the adviser charges, they may have lower maximums.

Any adviser charge must already have been agreed with you and we must have been provided with your agreement.

REGULAR SALES

If you have requested the regular sale of funds in Section 2, we will normally request this sale so proceeds are received on or around the 22nd of the month. Some fund providers may vary this.

If we apply investment transaction charges to your product, funds to cover this charge will not automatically be surrendered unless you request this as part of the regular sale amount.

PLEASE NOTE: We will not be held responsible for any delays that result from incorrect, or inaccurate information provided on the form. This includes any restrictions placed upon us by the fund providers.

ORDER TRANSMISSION POLICY

A copy of our Order Transmission Policy is available on our website. This sets out our policy on receiving and transmitting orders for investments.

We will only receive and transmit client orders to fund providers as we receive them. We do not ‘execute’ any transactions, and are therefore not bound by ‘best execution’ requirements. We do not actually undertake the transactions ourselves, but get investment managers to undertake them.

DATA PROTECTION STATEMENT

Your completion of this form constitutes your instruction to us to transmit your personal data for the purposes of completing your instructions under this form. Please note that if any of the investments that you have instructed us to purchase under this form are administered by companies outside of the European Union (EU), it will be necessary for us in performing our contract with you to transfer the personal data given under this form outside of the EU to those companies.

Not all countries outside of the EU adequately protect personal data, and/or do not have a government supervisory authority that enforces data protection laws. Therefore there is a potential risk that your personal data may not receive the same level of protection than that provided within the EU. This is particularly so where such countries outside of the EU have not been recognised as offering an adequate level of protection for personal data transferred from the EU, or where it is not possible to ensure that adequate safeguards are in place between us and the company to whom you have instructed us to transfer personal data (such as standard contractual terms and conditions). As such, in performing our contract with you, we will transmit your personal data outside of the EU under this form for the purposes of complying with your instructions under this form.

You can access full details on how we process your personal data under your product, including further information about transferring personal data outside of the EU, in the Data Protection Statement - James Hay Products, which is available on our website at www.jameshay.co.uk. If you have any questions about data protection, please contact us using the contact details in the Data Protection Statement.

We are able to provide literature in alternative formats. For a Braille, large print, audio or E-text version of this document call us on 03455 212 414 (or via the Typetalk service on 18001 03455 212 414).

www.jameshay.co.uk