



JHAY0384

## Application Form for Trusts

### Application guide

Please complete this form in BLOCK CAPITALS and black ink.

Once completed, this application form and supporting documentation should be posted to: James Hay Wrap Managers Limited, Suite 202 Warner House, 123 Castle Street, Salisbury, SP1 3TB.

If you need any assistance in completing this application form, or have any queries, please contact your Customer Support Team or our general enquiry number 03455 212 414.

**Please note: If you disclose personal information about a third party in this form, please ensure you have their permission and have informed them of the purposes for which their information will be processed, before doing so.**

### Important information

The following sections of the application form must be completed before James Hay Wrap Managers Limited (JHWM) can set up your Wrap and Investment Portfolio. These sections are marked as 'MANDATORY':

<b>SECTION 1:</b>	<b>Trust Details</b>
<b>SECTION 2:</b>	<b>Trustees</b>
<b>SECTION 3:</b>	<b>Settlers</b>
<b>SECTION 4:</b>	<b>Beneficiaries</b>
<b>SECTION 6:</b>	<b>Authorised signatories</b>
<b>SECTION 7:</b>	<b>Authorised signatories (continued)</b>
<b>SECTION 10:</b>	<b>Financial adviser's details</b>
<b>SECTION 14:</b>	<b>Trustees declaration</b>
<b>SECTION 15:</b>	<b>Financial adviser's declaration</b>

All other sections of the application form should be completed if relevant.

In addition, before you send your completed application form to James Hay Wrap Managers Limited please check you have included the following documents (if appropriate) to support your application:

**Certified copy of the Trust Declaration/Trust Deed** and any amending/supplementary documents.

**Completed Direct Debit Mandate** if regular payments are to be paid by you.

**Confirmation of Verification of Identity Certificate** (Corporate and Other Non Personal Entity) from an Financial Conduct Authority (FCA) regulated firm (located at the end of this form).

**Instruction to Trade Form** if you wish to invest in other permitted investments.

**Investment Application Forms** if you wish to purchase other permitted investments.

**Investment Centre Buy Form** if you wish to invest in the Investment Centre.

**Request to Re-register Investments** if you wish to re-register investments into the Investment Portfolio.

Full name of Trust

Type of Trust (nature/purpose)

Is the country of establishment/incorporation of the Trust the UK?

Yes  No If **No**, please contact us as we may not be able to accept your application

Registered address of the Trust

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
Postcode

Source of funds

Address for correspondence (if different to registered address) <sup>1</sup>

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
Postcode

<sup>1</sup> Your financial adviser's address is not acceptable as your address for correspondence.

Contact name for correspondence

Telephone

Fax

Email

Please attach the following: (tick if enclosed)

Certified copy of the Trust Documentation Confirmation of Verification of Identity Certificate  
(Corporate and Other Non Personal Entity) from an FCA  
Regulated Firm 

The certified copy of the Trust Deed must show the following:

- Appointment of Trustees
- Details of how Trustees are appointed and removed
- Details of the beneficiaries and protector (where appropriate)
- Appointment of individuals able to act on behalf of the Trust
- Details of original source of funds and the settlor(s)
- The Trust can undertake the proposed type of business.

Where the Trust is an FCA registered pension scheme, please complete details of the underlying pension client within Section 4 (Beneficiaries) and then go to Section 7. Please enclose an authorised signatory list with the application.

**Trust Registration Service (TRS)**

Most UK Trusts are required to register with the Trust Registration Service (TRS). Before we can establish the Wrap, we require one of the following:

Unique Taxpayer Reference (UTR) for the Trust

**or**I have enclosed an extract from the TRS register confirming registration **or**

Reason the Trust is exempt from registering with TRS.

Please provide details of all Trustees of the Trust named in Section 1.

**First trustee**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

Nationality

Do you have dual nationality?

Yes  No

If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No

If **No**, please specify

Are you a US Person or resident of the US for tax purposes?

Yes  No

If **Yes**, we may not be able to proceed with the application. Please contact us for further details.

Permanent residential address

  
  

Will you be acting as an authorised signatory on this account?

Yes  No

Specimen signature only if you are acting as an authorised signatory on the account

**Second trustee**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

Nationality

Do you have dual nationality?

Yes  No

If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No

If **No**, please specify

Are you a US Person or resident of the US for tax purposes?

Yes  No

If **Yes**, we may not be able to proceed with the application. Please contact us for further details.

Permanent residential address

  
  

Will you be acting as an authorised signatory on this account?

Yes  No

Specimen signature only if you are acting as an authorised signatory on the account

Please continue on a separate sheet if required.

Please provide details of all Trustees of the Trust named in Section 1.

**Third trustee**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

Nationality

Do you have dual nationality?

Yes  No

If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No

If **No**, please specify

Are you a US Person or resident of the US for tax purposes?

Yes  No

If **Yes**, we may not be able to proceed with the application. Please contact us for further details.

Permanent residential address

<input type="text"/>
<input type="text"/>
Postcode

Will you be acting as an authorised signatory on this account?

Yes  No

Specimen signature only if you are acting as an authorised signatory on the account

**Fourth trustee**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

Nationality

Do you have dual nationality?

Yes  No

If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No

If **No**, please specify

Are you a US Person or resident of the US for tax purposes?

Yes  No

If **Yes**, we may not be able to proceed with the application. Please contact us for further details.

Permanent residential address

<input type="text"/>
<input type="text"/>
Postcode

Will you be acting as an authorised signatory on this account?

Yes  No

Specimen signature only if you are acting as an authorised signatory on the account

Please continue on a separate sheet if required.

Please provide details of the settlors of the Trust named in Section 1. If the settlor has provided full details in Section 2 please only complete forename and surname below.

**First settlor**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

Nationality

Do you have dual nationality?

Yes  No

If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No

If **No**, please specify

Are you a US Person or resident of the US for tax purposes?

Yes  No

If **Yes**, we may not be able to proceed with the application. Please contact us for further details.

Permanent residential address

<input type="text"/>
<input type="text"/>
Postcode

Will you be acting as an authorised signatory on this account?

Yes  No

Specimen signature only if you are acting as an authorised signatory on the account

**Second settlor**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

Nationality

Do you have dual nationality?

Yes  No

If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No

If **No**, please specify

Are you a US Person or resident of the US for tax purposes?

Yes  No

If **Yes**, we may not be able to proceed with the application. Please contact us for further details.

Permanent residential address

<input type="text"/>
<input type="text"/>
Postcode

Will you be acting as an authorised signatory on this account?

Yes  No

Specimen signature only if you are acting as an authorised signatory on the account

Please provide details of all beneficiaries of the Trust named in Section 1. If the settlor has provided full details in Section 2 or 3 please only complete forename and surname below.

**Please note: If you disclose personal information about a third party, please ensure you have their permission and have informed them of the purposes for which their information will be processed, before doing so.**

**First beneficiary**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

Nationality

Do you have dual nationality?

Yes  No If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No If **No**, please specify

Are you a US Person or resident of the US for tax purposes?

Yes  No 

If **Yes**, we may not be able to proceed with the application. Please contact us for further details.

Permanent residential address

<input type="text"/>
<input type="text"/>
Postcode

Will you be acting as an authorised signatory on this account?

Yes  No 

Specimen signature only if you are acting as an authorised signatory on the account

**Second beneficiary**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

Nationality

Do you have dual nationality?

Yes  No If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No If **No**, please specify

Are you a US Person or resident of the US for tax purposes?

Yes  No 

If **Yes**, we may not be able to proceed with the application. Please contact us for further details.

Permanent residential address

<input type="text"/>
<input type="text"/>
Postcode

Will you be acting as an authorised signatory on this account?

Yes  No 

Specimen signature only if you are acting as an authorised signatory on the account

Please continue on a separate sheet if required.

Please provide details of any protector (if applicable) appointed on behalf of the Trust named in Section 1.

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

Nationality

Do you have dual nationality?

Yes  No

If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No

If **No**, please specify

Are you a US Person or resident of the US for tax purposes?

Yes  No

If **Yes**, we may not be able to proceed with the application. Please contact us for further details.

Permanent residential address

  
  

Will you be acting as an authorised signatory on this account?

Yes  No

Specimen signature only if you are acting as an authorised signatory on the account

Please continue on a separate sheet if required.

Please provide details of all signatories (not listed in Section 2, 3, 4 or 5) who will have the authority to operate this Wrap on behalf of the Trust named in Section 1.

**If the trust is an HMRC registered pension scheme please provide an authorised signatory list and proceed to Section 7. (do not complete this section)**

**First signatory**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Nationality

Do you have dual nationality?

Yes  No

If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No

If **No**, please specify

Permanent residential address



Postcode

Specimen signature only if you are acting as an authorised signatory on the account

**Second signatory**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Nationality

Do you have dual nationality?

Yes  No

If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No

If **No**, please specify

Permanent residential address



Postcode

Specimen signature only if you are acting as an authorised signatory on the account



**Third signatory**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

Nationality

Do you have dual nationality?

Yes  No If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No If **No**, please specify

Permanent residential address

  
  

Postcode

Specimen signature only if you are acting as an authorised signatory on the account

**Fourth signatory**

Forename(s)

Surname

Title

Any other names you have been, or are, known by

Date of birth

Nationality

Do you have dual nationality?

Yes  No If **Yes**, please specify

Is your country of residence the United Kingdom?

Yes  No If **No**, please specify

Permanent residential address

  
  

Postcode

Specimen signature only if you are acting as an authorised signatory on the account

Please continue on a separate sheet if required.

**7 Authorised signatories - MANDATORY**

We, the Trustees, authorise you to operate our Wrap until further notice on the instructions of the following authorised signatories (please tick as appropriate):

Any one of the authorised signatories One specified authorised signatory 

(please name)

Any two authorised signatories All of the authorised signatories **8 Investment Portfolio payment details**

To make an initial payment into your Investment Portfolio bank account, please indicate the type of payment you wish to make:

Single lump sum payment by electronic bank transfer **Please complete 8a**And/or by Direct Debit **Please complete 8b**And/or by re-registering investments 

**Please complete the 'Request to Re-register Investments Form' available from our website at [www.jameshay.co.uk](http://www.jameshay.co.uk) or on request.**

**8a Single lump sum payment**

Applicant to complete

We wish to make a single payment by electronic bank transfer (please note - bank details will be available on James Hay Online once the Wrap product is set up, or on request).

Total amount

£

**8b Direct Debit instructions**

Applicant to complete

We wish to make regular monthly payments:

Total amount

£

Date we wish Direct Debit to start

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

**PLEASE NOTE: This will be the day each month that the payment will be taken. Start date can only be between 1st and 28th of any month.**

Please now complete the Direct Debit Mandate attached to this application form. Please allow 10 Business Days for James Hay Wrap Managers Limited to set up any Direct Debits.

**9 Investment options for Investment Portfolio**

Applicant to complete

Should you wish to make an initial investment within your Investment Portfolio, please indicate your choices by ticking one or more of the following. Payment for your investments will be made from your Investment Portfolio bank account.

We wish to buy the following:

**1. Investment Centre funds**

Please complete an 'Investment Centre Buy Form'.

**2. We wish to appoint an investment manager**

Please now complete Section 11.

**3. Other permitted investments**

If you wish to buy funds that are not available in the Investment Centre, please complete an 'Instruction to Trade Form' and enclose the appropriate fund manager's application form, having completed the amount to be invested, the fund choice and adviser charges details. As the investment will be made by us, we will complete the rest of the investment application form.

For full details of the range of Investment Portfolio investments available, please refer to your copy of the 'Wrap Investment Portfolio Permitted Investments List'. The 'Investment Centre Buy Form', the 'Instruction to Trade Form' and the 'Wrap Investment Portfolio Permitted Investments List' are available at [www.jameshay.co.uk](http://www.jameshay.co.uk) or on request.

**PLEASE NOTE: Third party investment providers/managers may impose additional requirements for Trust Applicants. You, and your financial adviser, will be responsible for ensuring these are met.**

**10 Financial adviser's details - MANDATORY**

Applicant to complete

Company name

Network name (if applicable)

Contact name

FCA Authorisation number

Financial adviser's name

Address

Postcode

Telephone

Fax

Email

**10a Financial adviser's initial charges**

Applicant to complete

Please indicate the percentage of the money and assets transferred into your Wrap which you would like to be paid as product level initial adviser charge to your financial adviser. Alternatively please indicate the level of adviser charge payable as a one-off payment.

A maximum of 5% (inclusive of VAT) product level initial adviser charge can be applied.

Percentage of amount invested in your Wrap  %

or

One payment of

£

Please note that a product level initial adviser charge will only be paid from the Investment Portfolio upon receipt of an invoice on the financial adviser's headed paper, addressed to James Hay Wrap Managers Limited stating a monetary amount.

Where further money or assets are received after the Wrap has commenced, the same terms will apply and invoices should be submitted at the same time. Where applicable, the above amounts are inclusive of VAT.

**James Hay Wrap Managers Limited's payment terms are 28 days from the receipt of the invoice.**

**10b Financial adviser's product level recurring charges**

Applicant to complete

This section confirms the levels of recurring adviser charges for the Investment Portfolio.

Please indicate the annual amount of product level recurring adviser charges to be paid to your financial adviser and included in your monthly transaction charges.

**PLEASE NOTE: A maximum of 7% p.a. (inclusive of VAT) product level recurring adviser charges can be applied.**

**Option one**

Value of assets in your Investment Portfolio (excluding assets selected opposite)

Total	Level of adviser charge
Total Portfolio	% p.a.

**OR****Option two** (tiered)

Amount	Level of adviser charge
First £	% p.a.
Next £	% p.a.
Next £	% p.a.
Next £	% p.a.
Over £	% p.a.

**OR****Option three** (Monthly)

Level of adviser charge	
£	per month

Are adviser charges to be applied across all assets within the product?

Yes  No

If **No**, please tick the assets you wish to **exclude**:

- Investment Centre funds
- Investments purchased through investment manager
- Cash held in the Investment Portfolio bank account and the Wrap Deposit Account from one of our cash panel providers
- Other investments

**10c Financial adviser's initial charge on investment trades**

Applicant to complete

This is the maximum amount that may be paid on any investment buy or switch trade.

The initial investment level adviser charge will need to be confirmed on each investment instruction.

A maximum of 5% (inclusive of VAT) investment level adviser charge can be facilitated from the Wrap.

Percentage

 %
**11 Investment manager**

Applicant to complete

Is the investment manager to be appointed your financial adviser named in Section 10?

If you have ticked the box, please continue to Section 12.

If you would like to appoint an investment manager who is not your financial adviser please complete the following details:

Investment manager name

Contact name

FCA Authorisation number

Address

<input type="text"/>
<input type="text"/>
Postcode

Telephone

Fax

Email

Is your investment manager to hold funds on your behalf for the Investment Portfolio?

Yes  No

(Money will be passed to your investment manager in accordance with your instructions).

If **Yes**, please confirm the amount you wish to be transferred to your investment manager.

 £

You can access full details on what to expect when we process your and any third party's personal data under your product in the Data Protection Statement - James Hay Products document, which is available on our website at [www.jameshay.co.uk](http://www.jameshay.co.uk) or by calling us on 03455 212 414. If you have any questions about data protection, please contact us using the contact details in the Data Protection Statement.

At James Hay, we conduct market research to improve our products and services. Please tick this box if you do not wish to receive invitations to participate

You can change your mind at any time by contacting us.

### 13 Your right to cancel

You have the right to cancel this Wrap application.

Once you have submitted your application we will send you a cancellation notice, which confirms that you will have 14 days from receipt of the notice to let us know that you have changed your mind and therefore wish to cancel your application.

We will set up your Wrap during your 14 day cancellation period and you can give us investment instructions during this time.

However, if you choose to cancel your Wrap under the terms of the cancellation rights, any investment held will be sold, and we will arrange to return/transfer any money that has been received in each product. Please note that if the value of your investments has fallen in the period between your money being invested and the time your cancellation instruction is received by us, you will not receive back the full amount that you invested. This is explained in the cancellation notice that we will send to you.

### 14 Trustees declaration - MANDATORY

Before signing this declaration, it is important that you carefully read the James Hay Wrap Non Personal Client Terms and Conditions; the Wrap Charges Schedule; the Permitted Investments Lists for the products within the James Hay Wrap service; the James Hay Online Terms and Conditions; and the Key Features of the products within the James Hay Wrap Service. These documents specify important information about your James Hay Wrap, how the product works, the benefits and risks and the charges you will pay.

There is a lot of information for you to consider so, if you are in any doubt about whether the James Hay Wrap is right for you, we strongly recommend that you seek advice from your financial adviser.

If you have any queries, please direct them to James Hay Wrap Managers Limited, Suite 202 Warner House, 123 Castle Street, Salisbury, SP1 3TB; or telephone us on 03455 212 414.

- 14.1 We authorise James Hay Wrap Managers Limited (JHWM) to set up and administer our Wrap Portfolio in accordance with the James Hay Wrap non-personal client Terms and Conditions (subject to JHWM accepting our application to do so).
- 14.2 We warrant and represent that we are acting within the terms of the Trust named in Section 1, and that JHWM is not considered to be the adviser or the manager of the Trust assets or investments, nor is it responsible for complying with any written policy statement issued, or to be issued, by the Trust in accordance with the Trustee Act 2000.
- 14.3 We accept that JHWM is not a Trust or tax specialist and will only use the Trust documentation for administration and money laundering purposes.
- 14.4 We authorise JHWM and their agents to deal directly with the providers and issuers of investments held within the Wrap Portfolio and their agents, all so as to give practical effect to our application for a Wrap Portfolio and any instruction we or the financial adviser/Investment Manager may give you within the scope of the Terms and Conditions for James Hay Wrap non-personal clients.
- 14.5 We authorise the financial adviser named in this application to act on our behalf, to authorise transactions and to issue instructions to JHWM in connection with our Wrap Portfolio until we notify you in writing to the contrary.
- 14.6 We accept that the financial adviser named in this application will normally provide investment transaction instructions to JHWM. However, if JHWM receives an investment transaction instruction from us directly it will only be accepted on the basis of the authority provided in Section 2.

14.7 We authorise JHWM to:

- a. Purchase, sell and otherwise deal in the investments selected by us or our financial adviser at such times and in such amounts as instructed and to give all instructions, orders or requests as JHWM thinks fit for such purpose provided that such instructions shall not contravene any legal requirements or limitations relating to the particular product.
- b. Appoint any third party as agreed with us or our financial adviser to carry out such instructions or generally to manage investments with or without prior reference to us or to execute instructions thereafter to be intimidated by us or our financial adviser. The appointment of any such third party (whether or not originally appointed by the Attorney) may be revoked by JHWM without our or our financial adviser's consent and without any liability to JHWM.
- c. Pay any costs, charges and fees incurred in connection with the carrying out of such instructions.
- d. Transfer money from the bank account to any of the other product bank accounts to facilitate our or our financial adviser's instructions in respect of the Wrap Portfolio.

14.8 We accept that James Hay Wrap Managers Limited will not assess us or the Trust against an investment manufacturer's target market when we make any investments. Our financial adviser will make such an assessment.

14.9 We authorise JHWM or its nominee to hold investments within our Wrap Portfolio on our behalf and to receive interest, dividends and any other rights or proceeds in respect of those investments and any other cash on our behalf and to reinvest or pay those dividends and other rights or proceeds in accordance with our instructions or those of our financial adviser/investment manager.

14.10 We acknowledge that we have received a copy of and have read the James Hay Wrap Non-Personal Clients Terms and Conditions including those relating to the bank account. We accept that these Terms and Conditions together with this application form shall form a legally binding agreement between ourselves and JHWM. Our financial adviser has explained to us the operation of the Wrap Portfolio.

14.11 We acknowledge that we have been independently advised in relation to the suitability of and the Terms and Conditions of the appointment of any investment manager appointed to provide investment management services.

- 14.12 We acknowledge that JHWM has not provided us with any advice under the terms of the Financial Services and Markets Act 2000, in respect of any aspect of our Wrap Portfolio or the appointment of any investment manager and has no responsibility for doing so.
- 14.13 We have not received and do not expect to receive from JHWM any advice in relation to our Wrap Portfolio or investments, including whether we should buy, retain or sell any particular investments. We acknowledge and accept that JHWM will not carry out any review of our financial adviser's and/or investment manager's financial status, their investment and/or risk strategies nor will JHWM monitor the ongoing performance of these persons.
- 14.14 We acknowledge and accept that:
  - a. All transactions in respect of the Wrap Portfolio are at our own risk and that JHWM have no liability for any investment decision and,
  - b. JHWM shall be entitled to rely upon the instructions, orders and requests reasonably believed by JHWM to have been provided to it by us or our financial adviser.
- 14.15 JHWM is authorised to withdraw cash from the Wrap Portfolio in order to pay its fees and those of any third party or any other money which is lawfully due and owing and to disinvest from any investments of any Product without our instructions if cash funds, after reasonable effort, cannot be obtained from me.
- 14.16 We agree that any indebtedness or liability incurred to JHWM under this authority shall, in the absence of any express written agreement to the contrary, be due and payable on demand.
- 14.17 We authorise you to send correspondence to the contact name at the correspondence address notified in Section 1.
- 14.18 We authorise JHWM to send copies of all statements issued in respect of our Wrap Portfolio and to disclose details of that Portfolio to our financial adviser as named on this application. We agree that our financial adviser may receive adviser charges from JHWM in respect of our Wrap Portfolio.
- 14.19 We confirm that to the best of our knowledge and belief, the information given in this application form is true and complete.
- 14.20 We, the Trustees, undertake to inform JHWM promptly in writing of any changes to the information contained in this application form as soon as we are aware that what is stated is no longer true and complete.
- 14.21 We, or the authorised signatories, accept that in addition to the Identity Verification Certificate that our financial adviser is obliged to complete, which forms part of our

application, JHWM may at its discretion use a third party of its choosing to fulfil its obligations under the Money Laundering Regulations. We accept that the results of any such third party identity verification searches will not be seen or used by lenders to assess our ability to obtain credit.

- 14.22 We accept it is a serious offence to make false statements and that the penalties are severe and could lead to prosecution.

This application form and the declarations in this section are signed as approved and made by us on behalf of the trust named in Section 1.

By signing this application form below, we confirm:

- Our financial adviser has provided us with the following documents: the James Hay Wrap Non Personal Client Terms and Conditions; the Wrap Charges Schedule; the Permitted Investments Lists for the products within the James Hay Wrap service; the James Hay Online Terms and Conditions; the Key Features of the products within the James Hay Wrap Service; and the Data Protection Statement - James Hay Products.
- We agree to be bound by, and to at all times comply with, the James Hay Wrap Non Personal Client Terms and Conditions; the Wrap Charges Schedule; the Permitted Investments Lists for the products within the James Hay Wrap service; the James Hay Online Terms and Conditions and the above Declaration.

**Signature of trustee**

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

**Signature of trustee**

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

**Signature of trustee**

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

15 Financial adviser's declaration - MANDATORY

I/We confirm that I/we are acting and will act for the trust, named in Section 1 of this application form in accordance with the terms of business entered into between my/our client and myself/ourselves.

I/We agree that any instructions, including investment transaction instructions, provided to James Hay Wrap Managers Limited will be made on the basis that all parties named as authorised signatories in this application form are in agreement with the instruction provided.

I/We accept that James Hay Wrap Managers Limited will action my/our instructions on the basis that all parties have agreed to this and I/we agree that James Hay Wrap Managers Limited will not accept any liability for carrying out instructions where I/we do not receive the appropriate authority from my/our client.

I/We acknowledge and agree that I/we are responsible for advising the applicant as to the suitability of any investment transactions that are to be undertaken within this Wrap Portfolio.

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

# Confirmation of Verification of Identity Corporate and other Non Personal Entity Introduction by an FCA Regulated Firm

## Application guide

Please complete this form in BLOCK CAPITALS and black ink.

### 1 Details of client (see explanatory notes)

Applicant to complete

Full name of client

Type of entity (corporate, trust, etc)

Location of business (full operating address)




Postcode

Registered office in country of incorporation




Postcode

Registered number (if any, or if appropriate)

Relevant company registry or regulated market listing authority

Names of directors (or equivalent)




Names of principal beneficial owners (over 25%)




### 2 Confirmation

Applicant to complete

I/We confirm that:

- the information in Section 1 above was obtained by me/us in relation to the client;
- the evidence I/we have obtained to verify the identity of the client (please tick one only):

Meets the guidance for standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG;   
or

Exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation)

Signature

Name

Position

Date

D	D	M	M	Y	Y	Y	Y
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### 3 Details of introducing firm (or Sole Trader)

Applicant to complete

Full name of introducing firm (or sole trader)

FCA reference number

## Explanatory notes

- 'Relevant company registry' includes other registers, such as those maintained by charity remunerations (or equivalent) or chambers of commerce.
- This form cannot be used to verify the identity of any client that falls into one of the following categories:
  - those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
  - those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations; or
  - those whose identity has been verified using the source of funds as evidence.
- This confirmation must carry an original signature, or electronic equivalent.

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).

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NGSL, IPS, JHAC, JHPT, JHWM, JHWNC, PAL, SarumTL, IPSP, UPT have their registered office at Suite B & C, First Floor, Milford House, 43-55 Milford Street, Salisbury, SP1 2BP. JHS has its registered office at Aztec Group House, IFC6, The Esplanade, St Helier, Jersey, JE4 0QH. JHAC, JHWM, IPS, IPSP, are authorised and regulated by the Financial Conduct Authority. NGSL, IPS, IPSP, PAL, UPT, JHWM, JHPT, JHAC, SarumTL and JHS are members of a VAT group with VAT registration number 514 0358 80. All companies are wholly owned subsidiaries of Nucleus Financial Platforms Limited (registered in England, number 06033126) whose registered office is at Suite B & C, First Floor, Milford House, 43-55 Milford Street, Salisbury, SP1 2BP, and are members of the Nucleus Group. Further details of the Nucleus Group can be found at [nucleusfinancial.com](http://nucleusfinancial.com) (12/24)

## Instruction to your Bank or Building Society to Pay by Direct Debit



Please fill in the whole form using a ball point pen and send it to:

James Hay Wrap Managers Limited  
Suite 202 Warner House  
123 Castle Street  
Salisbury  
SP1 3TB

Name(s) of Account Holder(s)


Bank/Building Society Account Number

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Branch Sort Code

--	--	--	--	--	--

Reference

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Service User Number

8	8	0	1	2	3
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Name and full postal address of your Bank or Building Society

To: The Manager	Bank/Building Society
Address	
Postcode	

**Instruction to your Bank or Building Society**

Please pay James Hay Wrap Managers Limited Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee.

I understand that this Instruction may remain with James Hay Wrap Managers Limited and, if so, details will be passed electronically to my Bank/Building Society.

Signature(s)
Date

Banks and Building Societies may not accept Direct Debit Instructions for some types of account

JHAY0384 SEP22 INT

This guarantee should be detached and retained by the Payer

### The Direct Debit Guarantee



- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits
- If there are any changes to the amount, date or frequency of your Direct Debit James Hay Wrap Managers Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request James Hay Wrap Managers Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by James Hay Wrap Managers Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society
- If you receive a refund you are not entitled to, you must pay it back when James Hay Wrap Managers Limited asks you to
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.