

## Instruction to Trade Form

(For Partnership SIPP, IPS SIPP, IPS (2008) SIPP, IPS Pension Builder SIPP and IPS Family 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 manager/stockbroker trades.**

For 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](http://www.jameshay.co.uk) or on request.

**Please read the Important Notes on page 6 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 to:** James Hay Partnership, Dunn's House, St Paul's Road, Salisbury, SP2 7BF.

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 the 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.

### Important notes

#### IF YOU WISH TO BUY NEW INVESTMENTS

You will need to send us the appropriate investment application form from the fund provider. Please complete the amount to be invested, the fund choice, adviser charges details and sign the form as member co-trustee. As the investment will be made in the names of the trustees, as a member co-trustee you should insert your name as the second applicant. We will insert our details as the first applicant and also sign the 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.

**PLEASE NOTE:** If we are instructed to buy an investment that we have not invested in/with before, we may require additional documentation or have to carry out additional work, which may take longer than normal. We cannot be held responsible for any losses arising from any such delays.

#### 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 and ensure you sign the form as a co-trustee. If you are unsure whether the fund provider requires their own form to be completed, please contact the fund provider directly.

#### COMPLETION OF SECTION 4

In Section 4, please sign as the member co-trustee and add your name and date. If there are multiple members, please ensure all sign as member co-trustees. We will complete the other fields in this section, including the bank details and/or cheque payable to section.

#### INVESTMENT LEVEL ADVISER CHARGES

If you wish to pay your financial adviser an adviser charge from the investment being made, please state this in Section 2.

We can pay an initial adviser charge at the investment level. We can only pay recurring adviser charges at the SIPP product level.

Where an initial adviser charge is to be paid by us, we will deduct it from the amount sent to the fund provider to invest. The maximum adviser charge we will pay is 5% (including VAT). Any adviser charge must be within the maximum amount agreed by you, as communicated to us on the Adviser Charges Form.

#### REGULAR SALES

If you have requested the regular sale of funds in Section 2, and the purpose is to fund your pension income, you are responsible for ensuring the date selected will mean that money will be available in time to pay your income on its due date.

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](http://www.jameshay.co.uk). If you have any questions about data protection, please contact us using the contact details in the Data Protection Statement.

**1a Personal details**

Applicant to complete

Full name

SIPP number

**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, sign the declaration in Section 3 and sign Section 4 as the member co-trustee, alongside the signatures of all other member trustees.**

**Please complete a separate Section 2 and sign a separate Section 4 for each different fund provider.**

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

Fund provider address

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 <sup>1</sup>	Gross cash amount to be invested/sold	% of fund to be sold/purchased	Amount of regular sale/buy required	Frequency of regular sale/buy <sup>2</sup>	Commencement date <sup>3</sup>
					£	%	£		22 / __ / ____
					£	%	£		22 / __ / ____
					£	%	£		22 / __ / ____
					£	%	£		22 / __ / ____
					£	%	£		22 / __ / ____
					£	%	£		22 / __ / ____

<sup>1</sup> If not completed, income will be paid or reinvested as per the fund manager's default for that fund.

<sup>2</sup> Monthly, quarterly, half-yearly or annually. For regular investments we will also need a direct debit mandate.

<sup>3</sup> If you have chosen a regular sale, and the purpose is to fund your pension income, please select a date that will mean money will be available in time to pay your income.

<p><b>For financial advisers - if initial adviser charges are to be paid in respect of the investment:</b></p> <p>Initial <input style="width: 50px;" type="text"/> %</p> <p>Any adviser charges must have already been authorised by the client.</p>	<p>Additional notes:</p> <div style="border: 1px solid black; height: 150px; width: 100%;"></div>
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**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.

I/We confirm the instructions in Sections 1 and 2.

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

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

If I am/we are investing in a UCITS fund, I/we certify that I/we 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/We confirm that I am/we are not US Person(s) and I am/we are eligible, under the terms, to invest in the chosen fund(s).

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

Yes  No

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

James Hay recommends that all members 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/We confirm and accept that where no financial adviser is appointed:

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

**Member(s)**

Name

Signature

Date

Name

Signature

Date

Name

Signature

Date

Name

Signature

Date

**The member(s) must also sign Section 4 as co-trustees.**

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

- 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 provided my client(s) 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(s) is/are investing in a UCITS fund, I have provided my client(s) 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(s) is/are not a US Person(s) and confirm that they are eligible, under the terms, to invest in the chosen fund(s).
- I confirm that I have provided financial advice to my client(s) 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(s) fits this, as part of the advice process.

**Financial adviser****Signature**

Date

D	D	M	M	Y	Y	Y	Y
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Fund held in the name of

Fund designation

Please forward contract notes and transaction statements to:

James Hay Partnership, Dunn's House, St Paul's Road,  
Salisbury, SP2 7BF

Bank details for any sale proceeds or investment income

Account holder's name

Sort code

Account number

Payment reference

Bank address

Postcode

If payable by cheque, please make payable to

and send to James Hay Partnership, Dunn's House, St Paul's  
Road, Salisbury, SP2 7BF.**Signed for on behalf of the trustees****Corporate trustee**

Signature

Signature

Authorised signatories of

Date

**Member co-trustee(s)**

Signature

Name

Date

Signature

Name

Date

Signature

Name

Date

Signature

Name

Date

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 Dunn's House, St Paul's Road, Salisbury, SP2 7BF. 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 Dunn's House, St. Pauls Road, Salisbury, Wiltshire, SP2 7BF, and are members of the Nucleus Group. Further details of the Nucleus Group can be found at nucleusfinancial.com. (5/24)