



Internal Switch from a James Hay Wrap to Modular iPlan Form

Application guide

This form should be used if you wish to switch an existing James Hay Wrap to a Modular iPlan. More information on the Modular iPlan is available on our website at www.jameshay.co.uk or from your financial adviser.

Please note: In order to gain access to the Modular GIA and Modular ISA under the Modular iPlan you need to hold a Modular iSIPP. If you have a Wrap SIPP, this can be transferred to a Modular iSIPP using this internal switch form, along with your other Wrap products. If you do not have a Wrap SIPP to transfer, please complete our online Modular iPlan application for a Modular iSIPP and then complete this internal switch form to switch any other products from your Wrap into your Modular iPlan. Please note that a Wrap Offshore Bond cannot be transferred to the Modular iPlan.

Please complete this form in BLOCK CAPITALS and black ink and return it to James Hay, Suite 202 Warner House, 123 Castle Street, Salisbury, SP1 3TB. If you require any assistance, please call your Customer Support Team or our general enquiry number on 03455 212 414.

Existing Wrap number

Existing Modular iSIPP member number (if applicable)

1 Personal details Applicant to complete

IMPORTANT: If you do not fully complete each part of the form, it may delay the application process.

Title

Forename(s)

Surname

Date of birth

Permanent residential address

 Postcode

Telephone Mobile

Email

Nationality

Do you have dual nationality? Yes No If **Yes**, please specify

Are you a US Person or resident of the US for tax purposes?¹ Yes No

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

¹A US Person is a person who is a citizen or national of the United States of America (US) or resident in the US for US tax purposes.

2 Financial adviser details Applicant to complete

Is the financial adviser appointed on your James Hay Wrap going to be appointed on your Modular iPlan?

Yes No

If **No** and you wish to appoint a new financial adviser, please complete an 'Appointment of Financial Adviser Form' which is available from our website at www.jameshay.co.uk.

If **Yes**, will your financial adviser be receiving adviser charges?

Yes No

If **Yes**, please complete an 'Adviser Charges Form' which is available from our website at www.jameshay.co.uk.

Please note: Any existing adviser charges payable from your Wrap will **not** automatically be moved across to your Modular iPlan.

3 Your transfer instructions

Applicant to complete

Please transfer:

All existing Wrap products to the relevant Modular iPlan products

OR

Wrap SIPP to Modular iSIPP

Wrap Investment Portfolio to Modular GIA

Wrap ISA to Modular ISA

Please note: All ISA and Investment Portfolio transfers will be completed so that the investments remain the same. For SIPPs we will wherever possible keep the funds the same. If the same fund isn't available we will contact you for further instructions.

If you are not following financial advice with regard to your investment choices and do not wish to select your own investments, one option available to you is a range of target retirement funds via our Investment Centre. For information on our **Standardised Investment Option** for a typical non-advised pension investor, please visit our website at www.jameshay.co.uk/standardised-investment-option-for-non-advised-pension-investors/.

4 Evidence of your identity

As part of this application we will carry out identity checks to re-verify your identity. We will do this by searching at credit reference agencies who will supply us with information, including information from the electoral register, for the purposes of verifying your identity. Scoring methods may be used to verify your identity. If this does not provide us with sufficient verification, we may need to contact you or your financial adviser to obtain documentary evidence of your identity, such as a copy of your passport and a utility bill.

5 Data Protection Statement

Applicant to complete

You can access full details on what to expect when we process your personal data in our group Privacy Notice which is available on our website at www.jameshay.co.uk or by calling us on 03455 212 414. If you have any questions about data protection, please contact us.

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.

If you have a financial adviser appointed, they may view any additional products you hold with us on James Hay Online, even though your financial adviser is not appointed for those additional products.

6 Declaration

EXPLANATORY NOTES

When transferring to the James Hay Modular iPlan you must open, or switch your existing Wrap SIPP to a Modular iSIPP. Please read and sign:

- Declaration 6a when transferring your Wrap SIPP to the Modular iSIPP.
- Declaration 6b when transferring your Wrap Investment Portfolio to the Modular GIA.
- Declaration 6c when transferring your Wrap ISA to the Modular ISA.

Before signing the declarations below, it is important that you carefully read the relevant product literature for the product you are applying for. The product literature specifies important information about the product, 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 product is right for you, we strongly recommend that you seek advice from a regulated financial adviser.

If you would like to speak to a financial adviser, but do not have one, please visit www.moneyhelper.org.uk to obtain a list of financial advisers in your local area.

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

6a Declaration for switching from Wrap SIPP to Modular iSIPP

Applicant to complete

Please sign this declaration if you are switching your Wrap SIPP to the Modular iSIPP.

Before signing this declaration, it is important that you carefully read the SIPP Terms and Conditions; the Modular iSIPP Charges Schedule; the Modular iSIPP Permitted Investments List and the Key Features of the Modular iSIPP. These documents specify important information about your Modular iSIPP, how the product works, the benefits and risks and the charges you will pay. The documents can be found on the literature section of our website www.jameshay.co.uk.

I hereby:

- instruct James Hay Partnership to: (1) switch my existing SIPP to the Modular iSIPP, and: (2) fulfil my instructions in Section 3 above.
- apply to James Hay Administration Company Limited for membership of the Modular iSIPP.
- acknowledge that my existing James Hay Wrap Terms and Conditions shall be replaced by the SIPP Terms and Conditions.
- agree that my Wrap SIPP will be closed upon completion of the transfer.

I hereby declare as follows:

- a) I agree at all times to be bound by, and comply with, the Trust Deed and Rules of the James Hay Personal Pension Plan, as amended from time to time; the SIPP Terms and Conditions; Section 1 of the Modular iSIPP Charges Schedule and the Modular iSIPP Permitted Investments List.
- b) To the best of my knowledge and belief, the particulars given on this internal switch form are correct and complete.
- c) I undertake to tell you in writing within 30 days if:
- there is any change to my name, permanent residential address or residency status;
 - I am made bankrupt; or
 - there are any changes to the information contained in this internal switch form as soon as I am aware that what is stated is no longer true and complete.
- d) I agree that the total contributions to any registered pension schemes in respect of which I am entitled to tax relief will not exceed the higher of:
- £3,600; or
 - my relevant UK earnings for that tax year.
- e) If an event occurs, as a result of which I am no longer entitled to tax relief on my contributions, I undertake to tell you in writing no later than:
- 5 April in the year of assessment in which this occurs; or
 - if later, within 30 days of the event.
- f) I accept that the value of my Modular iSIPP may only be applied to provide benefits at the time I take retirement benefits or upon my death and that James Hay Pension Trustees Limited will provide the appropriate benefits as required.
- g) I accept that if I appoint a financial adviser, you will send correspondence to my financial adviser unless I have requested otherwise or if I cease to use the services of a financial adviser and notify you of this accordingly.
- h) If I have appointed a financial adviser, I give my authority for you to accept investment and disinvestment instructions from them and to pay adviser charges to them from my Modular iSIPP.
- i) If I use the services of any investment manager or stockbroker, I accept and agree that:
- I am solely responsible for all decisions relating to the purchase, retention and sale of the investments forming part of my Modular iSIPP;
 - I shall hold James Hay Partnership harmless against any claims in respect of decisions relating to the purchase, retention and sale of the investments forming part of my Modular iSIPP and will make good any losses, costs or expenses they suffer as a result of such a claim;
 - you have not carried out and shall not in future carry out any review of any investment manager's or stockbroker's financial status or their investment and/or risk strategies. I am/my financial adviser is responsible for checking these matters and ensuring that the investment manager or stockbroker is suitable for my investment objectives;
 - the investment manager or stockbroker will be bound by the terms of business agreed with James Hay Partnership. I will not take any action, intentionally or otherwise, or instruct the investment manager or stockbroker to take actions that result in a breach of this agreement; and
 - I have seen and accept the terms and conditions and charges schedule of the investment manager or stockbroker I am using.
- j) If I am investing in a UCITS fund, I certify that before providing investment instructions to you I will 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.
- k) I accept that James Hay Partnership will not assess me against an investment manufacturer's target market when I make any investments. If I am receiving financial advice on the investment, my financial adviser will make such an assessment. If I am not receiving financial advice, I am responsible for considering the investment manufacturer's target market before making my investment decision.
- l) I accept full responsibility in respect of any claims, losses and expenses that you may incur as a result of any incorrect information provided by me in this internal transfer form or of any failure on my part to comply with any aspect of this internal transfer form.

It is an offence to make false statements and the penalties are severe and could lead to prosecution.

By signing this internal transfer form below, I confirm:

- Where I have received advice in relation to transferring to this product, that my financial adviser has provided me with the following documents: the SIPP Terms and Conditions; the Modular iSIPP Charges Schedule; the Modular iSIPP Permitted Investments List; and the Key Features of the Modular iSIPP.
- Where I have not received financial advice in relation to transferring to this product, that I have accessed and read the following documents: the SIPP Terms and Conditions; the Modular iSIPP Charges Schedule; the Modular iSIPP Permitted Investments List; and the Key Features of the Modular iSIPP.
- I agree to be bound by, and to at all times comply with, the SIPP Terms and Conditions; Section 1 of the Modular iSIPP Charges Schedule; the Modular iSIPP Permitted Investments List and the above 6a Declaration.

Applicant's name

Date

D	D	M	M	Y	Y	Y	Y
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Applicant's signature

Please sign this declaration if you are transferring your Wrap Investment Portfolio to the Modular GIA.

Before signing this declaration, it is important that you carefully read the Modular GIA Terms and Conditions; the Modular GIA Charges Schedule; the Modular GIA Permitted Investments List; and the Key Features of the Modular GIA; and the Modular iPlan Technical Guide. These documents specify important information about your Modular GIA, how the product works, the benefits and risks and the charges you will pay. The documents can be found on the literature section of our website www.jameshay.co.uk.

I hereby:

- instruct and apply to James Hay Wrap Managers Limited to: (1) transfer my existing Wrap Investment Portfolio to the Modular GIA; and (2) fulfil my instructions in Section 3 above.
- acknowledge that my existing James Hay Wrap Terms and Conditions shall be replaced by the Modular GIA Terms and Conditions
- agree that my Wrap Investment Portfolio will be closed upon completion of the transfer.

I hereby declare as follows:

- a) I agree at all times to be bound by, and comply with, the Modular GIA Terms and Conditions, Section 1 of the Modular GIA Charges Schedule; and the Modular GIA Permitted Investments List.
- b) To the best of my knowledge and belief, the particulars given on this internal transfer form are correct and complete.
- c) I undertake to tell you in writing within 30 days if:
- there is any change to my name, permanent residential address or residency status;
 - I am made bankrupt; or
 - there are any changes to the information contained in this internal switch form as soon as I am aware that what is stated is no longer true and complete.
- d) I authorise you and your agents to deal directly with the providers and issuers of investments held within the Modular GIA and their agents.
- e) I accept that if I appoint a financial adviser, you will send correspondence to my financial adviser, unless I have requested otherwise, or if I cease to use the services of a financial adviser.
- f) If I have appointed a financial adviser, I give my authority for you to accept investment and disinvestment instructions from them and to pay adviser charges to them from my Modular GIA.
- g) If I use the services of any investment manager or stockbroker I accept and agree that:
- I am solely responsible for all decisions relating to the purchase, retention and sale of the investments forming part of my Modular GIA;
 - I shall hold James Hay Partnership harmless against any claims in respect of decisions relating to the purchase, retention and sale of the investments forming part of my Modular GIA and will make good any losses, costs or expenses they suffer as a result of such a claim;
 - you have not carried out and shall not in future carry out any review of the investment manager or stockbroker's financial status or their investment and/or risk strategies. I am/my financial adviser is responsible for checking these matters and ensuring that the investment manager or stockbroker is suitable for my investment objectives;
 - the investment manager or stockbroker will be bound by the terms of business agreed with James Hay Partnership. I will not take any action, intentionally or otherwise, or instruct the investment manager or stockbroker to take actions that result in a breach of this agreement; and
 - I have seen and accept the terms and conditions and charges schedule of the investment manager or stockbroker I am using.
- h) I authorise you or your nominee to hold investments within my Modular GIA on my behalf and to receive interest, dividends and any other rights or proceeds in respect of those investments and any other cash on my behalf and to reinvest or pay those dividends and other rights or proceeds in accordance with my instructions or those of my financial adviser/investment manager.
- i) If I am investing in a UCITS fund, I certify that before providing investment instructions to you I will 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.
- j) I accept that James Hay Wrap Managers Limited will not assess me against an investment manufacturer's target market when I make any investments. If I am receiving financial advice on the investment, my financial adviser will make such an assessment. If I am not receiving financial advice, I am responsible for considering the investment manufacturer's target market before making my investment decision.
- k) I accept full responsibility in respect of any claims, losses and expenses that you and the current provider(s) may incur as a result of any incorrect information provided by me in this internal transfer form or of any failure on my part to comply with any aspect of this internal transfer form.

It is an offence to make false statements and the penalties are severe and could lead to prosecution.

By signing this internal transfer form below, I confirm:

- Where I have received advice in relation to transferring to this product, my financial adviser has provided me with the following documents: the Modular GIA Terms and Conditions; the Modular GIA Charges Schedule; the Modular GIA Permitted Investments List; and the Key Features of the Modular GIA.
- Where I have not received financial advice in relation to transferring to this product that, I have accessed and read the following documents: the Modular GIA Terms and Conditions; the Modular GIA Charges Schedule; the Modular GIA Permitted Investments List; and the Key Features of the Modular GIA.
- I agree to be bound by, and to at all times comply with, the Modular GIA Terms and Conditions; Section 1 of the Modular GIA Charges Schedule; the Modular GIA Permitted Investments List; and the above 6b Declaration.

Applicant's name

Date

D	D	M	M	Y	Y	Y	Y
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Applicant's signature

Please sign this declaration if you are switching your Wrap ISA to the Modular ISA.

Before signing this declaration, it is important that you carefully read the Modular ISA Terms and Conditions; the Modular ISA Charges Schedule; the Modular ISA Permitted Investments List; and the Key Features of the Modular ISA; and the Modular iPlan Technical Guide. These documents specify important information about your Modular ISA, how the product works, the benefits and risks and the charges you will pay. These documents can be found on the literature section of our website www.jameshay.co.uk.

I hereby:

- instruct and apply to James Hay Wrap Managers Limited to: (1) switch my existing Wrap ISA to the Modular ISA; and (2) fulfil my instructions in Section 3 above.
- acknowledge that my existing James Hay Wrap Terms and Conditions shall be replaced by the Modular ISA Terms and Conditions.
- agree that my Wrap ISA will be closed upon completion of the transfer.

I hereby declare as follows:

- a) I agree at all times to be bound by, and comply with, the Modular ISA Terms and Conditions, Section 1 of the Modular ISA Charges Schedule and the Modular ISA Permitted Investments List.
- b) To the best of my knowledge and belief, the particulars given on this internal switch form are correct and complete.
- c) That:
 - all subscriptions made, and to be made, belong to me;
 - I am 18 years of age or over;
 - I have not subscribed, and will not subscribe, to more than the overall total subscription limit in relation to an ISA in the same tax year;
 - I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year in which I subscribe to this stocks and shares ISA; and
 - I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pension) Act 2003 are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform you if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
- d) I authorise James Hay Wrap Managers Limited to:
 - set up and administer my Modular ISA;
 - arrange any transfer of an ISA that I may request from time to time;
 - hold, or arrange for its nominee to hold, my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; and
 - make any claims to relief from tax in respect of ISA investments, on my behalf.
- e) I accept that if I appoint a financial adviser, you will send correspondence to my financial adviser unless I have requested otherwise or if I cease to use the services of a financial adviser.
- f) If I have appointed a financial adviser, I give my authority for you to accept investment and disinvestment instructions from them and to pay adviser charges to them from my Modular ISA.
- g) If I use the services of any ISA Panel stockbroker I accept and agree that:
 - I am solely responsible for all decisions relating to the purchase, retention and sale of the investments forming part of my Modular ISA;
 - I shall hold James Hay Partnership harmless against any claims in respect of such decisions and will make good any losses, costs or expenses they suffer as a result of such a claim;
 - you have not carried out and shall not in future carry out any review of the ISA Panel stockbroker's financial status or their investment and/or risk strategies. I am/my financial adviser is responsible for checking these matters and ensuring that any other ISA Panel stockbroker is suitable for my investment objectives;
 - the ISA Panel stockbroker will be bound by the terms of business agreed with James Hay Partnership. I will not take any action, intentionally or otherwise, or instruct the ISA Panel stockbroker to take actions that result in a breach of this agreement; and
 - I have seen and accept the terms and conditions and charges schedule of the ISA Panel stockbroker I am using.
- h) If I am investing in a UCITS fund, I certify that before providing investment instructions to you I will 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.
- i) I accept that James Hay Wrap Managers Limited will not assess me against an investment manufacturer's target market when I make any investments. If I am receiving financial advice on the investment, my financial adviser will make such an assessment. If I am not receiving financial advice, I am responsible for considering the investment manufacturer's target market before making my investment decision.
- j) I accept full responsibility in respect of any claims, losses and expenses that you and the current provider(s) may incur as a result of any incorrect information provided by me in this internal transfer or of any failure on my part to comply with any aspect of this internal transfer form.

It is an offence to make false statements and the penalties are severe and could lead to prosecution.

By signing this internal transfer form below, I confirm:

- Where I have received advice in relation to transferring to this product, that my financial adviser has provided me with the following documents: the Modular ISA Terms and Conditions; the Modular ISA Charges Schedule; the Modular ISA Permitted Investments List; and the Key Features of the Modular ISA.
- Where I have not received financial advice in relation to transferring to this product, that I have accessed and read the following documents: the Modular ISA Terms and Conditions; the Modular ISA Charges Schedule; the Modular ISA Permitted Investments List; and the Key Features of the Modular ISA.
- I agree to be bound by, and to at all times comply with, the Modular ISA Terms and Conditions; Section 1 of the Modular ISA Charges Schedule; the Modular ISA Permitted Investments List and the above 6c Declaration.

Applicant's name

Applicant's signature

Date

D	D	M	M	Y	Y	Y	Y
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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).

"James Hay Partnership" is the trading name of Nucleus Group Services Limited (NGSL) (registered in England, number 02538532); James Hay Services Limited (JHS) (registered in Jersey, number 77318); IPS Pensions Limited (IPS) (registered in England, number 02601833); James Hay Administration Company Limited (JHAC) (registered in England, number 04068398); James Hay Pension Trustees Limited (JHPT) (registered in England, number 01435887); James Hay Wrap Managers Limited (JHWM) (registered in England, number 04773695); James Hay Wrap Nominee Company Limited (JHWNC) (registered in England, number 07259308); PAL Trustees Limited (PAL) (registered in England, number 01666419); Sarum Trustees Limited (SarumTL) (registered in England, number 01003681); The IPS Partnership Limited (IPSP) (registered in England, number 01458445); Union Pension Trustees Limited (UPT) (registered in England, number 02634371).

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 (12/24)