

## Application for a Collective Investment Account (CIA)

– *Charity applicant*

*For completion with a financial adviser*

### With this form you can:

- ☒ invest in a CIA in the name of a charity either by
  - opening a new CIA, or
  - topping up an existing CIA.

**We regularly update our forms;** your financial adviser can confirm that this **November 2025** version is the latest by checking our website [quilter.com](https://www.quilter.com)



### *How to complete this form*

- **Option 1 (electronic):** Save the form to your desktop, open it in **Adobe Acrobat** to complete the editable fields, then print and sign it.
- **Option 2 (by hand):** Print the form and complete it in BLOCK CAPITALS using blue or black ink.
- **Date Format:** please use **DD/MM/YYYY**.
- Missing or unclear information can result in delays. We are unable to correct errors or omissions retrospectively.



### *Additional documents we need*

- **Signatory list** - We need signatory details to ensure any future instructions are not delayed whilst security checks are made.
- **Tax Declaration and CoVI** (at the end of this application) - for new investments, these must also be completed and returned to us, otherwise the investment will be delayed.



### *Send your completed form(s) as follows:*

- **By post to:** Quilter, SUNDERLAND, SR43 4JP.



### *Timescales*

- Provided we have received all the information we need, we will deal with your application by the end of the working day following receipt. We will then write to confirm details of your investment, including the assets you have chosen.



### **Important documents for you to read before completing your application**

Your financial adviser will have provided you with the following:

- **CIA Key Features Document**
- **CIA Terms and Conditions**
- **A projection/illustration**, which includes a Costs and Charges Statement.
- **Information about the assets chosen for your investment, including:**
  - **Key Investor Information Documents (KIIDs) or Key Information Documents (KIDs)**
  - **Details of any rebates applicable**
- **Privacy notice** concerning use of your personal information.

**The declaration you sign in section 10 will include your confirmation that you have read these documents.**





### 2.3 Associated parties

- Please provide the details of the trustees/officers who are authorised to make this application on behalf of the charity entity.
- Persons named here will also need to sign the application form and authorise any future instructions on the account.
- If the majority of the associated parties are US resident for tax purposes, or citizens of the US, Russia, or Belarus, you will not be able to proceed with the application.

Title	Mr	Mrs	Miss	Ms	Other ▶ <i>Please specify</i>	<input type="text"/>
First name(s)	<input type="text"/>					
Surname	<input type="text"/>					
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>					
National Insurance (NI) number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <b>OR</b> If ineligible to have an NI number, tick here					
Permanent UK residential address	<input type="text"/>					<input type="text"/>
	<input type="text"/>					Postcode

Title	Mr	Mrs	Miss	Ms	Other ▶ <i>Please specify</i>	<input type="text"/>
First name(s)	<input type="text"/>					
Surname	<input type="text"/>					
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>					
National Insurance (NI) number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <b>OR</b> If ineligible to have an NI number, tick here					
Permanent UK residential address	<input type="text"/>					<input type="text"/>
	<input type="text"/>					Postcode

Title	Mr	Mrs	Miss	Ms	Other ▶ <i>Please specify</i>	<input type="text"/>
First name(s)	<input type="text"/>					
Surname	<input type="text"/>					
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>					
National Insurance (NI) number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <b>OR</b> If ineligible to have an NI number, tick here					
Permanent UK residential address	<input type="text"/>					<input type="text"/>
	<input type="text"/>					Postcode

Title	Mr	Mrs	Miss	Ms	Other ▶ <i>Please specify</i>	<input type="text"/>
First name(s)	<input type="text"/>					
Surname	<input type="text"/>					
Date of birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>					
National Insurance (NI) number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <b>OR</b> If ineligible to have an NI number, tick here					
Permanent UK residential address	<input type="text"/>					<input type="text"/>
	<input type="text"/>					Postcode



### 3. Decision maker details

The 'decision maker' is the one making decisions concerning transactions on this investment. In most cases it will be the customer (ie the applicant) but sometimes other people could be authorised to make decisions.



Where the investments include a discretionary portfolio, the discretionary manager will automatically be reported as the decision maker for transactions involving those assets. However, if other assets are held, and someone other than the customer is the decision maker, the other party's details should be entered in this section.

#### 3.1 Who is the decision maker on this account?

Customer (ie the applicant) – **go to section 4**

Others – **go to section 3.2**

#### 3.2 Is the decision maker

An individual? – **go to section 3.3**

An entity (eg a trust or company)? – **go to section 3.4**

#### 3.3 Please provide the individual's details here:

First name

Surname

Date of birth

Country of nationality  UK  National Insurance Number

Other (please specify)

► Enter the passport number and expiry date below

Passport number and expiry date

**Now go to section 4**

#### 3.4 Please provide the entity's LEI code here:

LEI code

**Now go to section 4**

### 4. Contribution details



#### Single payments

- **Bank transfer:** send to: Quilter Investment Platform Ltd Collections Client Account. NatWest. Sort code: 56-00-68. Account number: 42087058. Reference - **your account number with us, starting with AC.**
- **Cheques:** make your cheque payable to Quilter Investment Platform Ltd Collections Client Account. *If known, please write **your account number with us, starting with AC, on the back of the cheque***
- If you are sending **more than one payment** for your application, we will invest your contribution only when we have received all payments.
- If you are sending payment for **more than one application**, please send a separate payment for each one.

#### Phased investment

- You can place single investments into cash within your CIA, then phase the investment into your choice of assets in equal instalments on the first working day of each month for 3, 6 or 12 months.
- To select phased investment, complete the required start date and frequency in this section, then list your choice of assets in section 5.
- If you do not specify a start date, we will begin phasing the month following your investment.

#### Regular investment

- The collection date can be any day from 1-28; the first collection date cannot be more than 13 months in the future.
- If we receive your instruction less than 10 working days before the first collection date requested, we cannot guarantee that it will take effect for that month.
- If you leave the date blank, we will collect Direct Debits on the next available collection date.

#### Minimum new investment

- £2,500 (single investments and transfers); £99 (monthly Direct Debits); £600 (yearly Direct Debits). There is no minimum amount for topping up an existing account.

#### 4.1 Single investment – paid by the applicant

Investment amount	<input type="text"/>					
Payment method	Cheque number	Bank transfer				
Phased investment (if required)	Start date	<input type="text"/> 0 <input type="text"/> 1 <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Number of months	3	6	12
Adviser's initial fee	<input type="text"/>	OR	<input type="text"/>	%		

#### 4.2 Single investment – paid by a third party

Investment amount	<input type="text"/>					
Payment method	Cheque number	Bank transfer				
Phased investment (if required)	Start date	<input type="text"/> 0 <input type="text"/> 1 <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Number of months	3	6	12
Adviser's initial fee	<input type="text"/>	OR	<input type="text"/>	%		


**– Please complete the payer's details in section 4.7.**

#### 4.3 Transfer

If you are transferring an investment to us, please state the name(s) of the current provider(s) below.

Transferring provider(s)	<input type="text"/>		
	<input type="text"/>		

Phased investment (if required)	Start date	<input type="text"/> 0 <input type="text"/> 1 <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Number of months	3	6	12
Adviser's initial fee	<input type="text"/>	OR	<input type="text"/>	%	► This is the total initial fee for cash transfers	



- Any initial fee entered for cash transfers will only be applied to transfers requested as cash; it will not be applied to any cash proceeds transferred to us where an asset could not be re-registered. The initial fee will be paid from the largest transfer based on the amount you state in the transfer authority. It is not based on the amounts we actually receive. If we do not receive the transfer, the fee will not be paid.
- Any fee agreed with your financial adviser in respect of a transfer by re-registration must be requested as an ad hoc fee separately online by your adviser, once the account is open.

**– Please complete a Transfer Authority at the end of the application, one for each provider/asset manager.**

#### 4.4 Regular investment – paid by the applicant

Direct Debit amount	<input type="text"/>	Frequency	Monthly	Annually
First collection date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	any day from 01 – 28		

**– Please complete the Direct Debit Instruction in section 11, and complete section 4.6 if an initial fee has been agreed for your adviser.**

#### 4.5 Regular investment – paid by a third party

Direct Debit amount	<input type="text"/>	Frequency	Monthly	Annually
First collection date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	any day from 01 – 28		

**– Please complete the payer's details in section 4.7, and complete section 4.6 if an initial fee has been agreed for your adviser; the payer will need to sign the Direct Debit Instruction in section 11.**

#### 4.6 Adviser's initial regular fee

This section relates to any regular investments requested in sections 4.4 and 4.5.

Fee payment	£ <input type="text"/>	► This is the amount that will be deducted each time; it is not the total fee amount
Frequency	Monthly      Yearly	► This must be the same as the Direct Debit frequency
Number of fee payments	<input type="text"/>	► Maximum 24 if monthly, 2 if yearly

#### 4.7 Third party payer's details

Payer type	Individual	Corporate	Trust	Charity	Club/Association
Title	Mr      Mrs      Miss      Ms      Other (please specify)	<input type="text"/>			
First name(s)	<input type="text"/>				
Surname/ Entity name	<input type="text"/>				
Permanent UK residential/ registered office address	<input type="text"/>				Postcode <input type="text"/>
Date of birth	<input type="text"/>				Entity registration number (if applicable)
► The payer must be at least 18 years of age					
Which payment is being made by this third party?	Single investment		Regular investment		

### 5. Your asset selection (not applicable for re-registration)

If you are topping up and would prefer to add the investment into your existing assets, please tick below in section 5.1, otherwise go to section 5.2:

**5.1 Please apply my top-up investment across all available assets in my CIA, proportionally by their current values.**  
- Now go to section 6

**5.2 We will automatically default to the 'unbundled' versions of any assets you choose in section 5.3.**

- 'Unbundled' assets typically have lower Annual Management Charges (AMC) with reduced rebates.
  - 'Bundled' assets have full AMC with rebates.
- Tick here if you want the 'bundled' version of your asset choice, if available.

**5.3 State your asset choice in the table overleaf**



- If you selected **phased investment** in section 4, you cannot phase back into cash, so please do not select cash as one of your asset choices in the table on the next page.
- **Managed Portfolio Service (MPS) and Discretionary Investment Management (DIM) Portfolios** - if you wish to invest using MPS or DIM portfolios, enter the portfolio name(s) in the table overleaf. Your financial adviser must also sign the declaration in section 12.
- **If an asset choice you give is missing, illegible or otherwise invalid**, we will place the investment into cash within your CIA, after which you or your adviser can switch into a revised asset choice.
- **If your asset choice includes any Exchange Traded Instruments (ETIs):**
  - they can only be purchased in whole units; any residual value will therefore be held as cash within your account
  - each ETI transaction will incur a Dealing Charge. Stamp duty and other costs may also apply.
- **If Income (Inc) or Accumulation (Acc) is not stated**, accumulation units (where available) will automatically be applied. Where accumulation units have been selected and they are not available, income units will be automatically applied or vice versa.
- **If you need more space for your asset choice**, please use a copy of the table on the next page and attach it to this application form.
- **Regular investments** - If more than one Direct Debit is being paid into the account, any regular investment asset choice given as part of this application will be applied to all of them.

Asset or Portfolio Name	Inc/Acc	Single/Cash transfer %	Regular %
Cash	n/a		
	Total	100%	100%

### Discretionary Investment Manager (DIM) – Portfolio Fee

If the asset choice includes a DIM portfolio, your adviser can record the related fee details here.

Portfolio Fee Amount:  % of the portfolio value each year

Model portfolio(s) to which the fee relates

Frequency ☐ Monthly ☐ Quarterly ☐ Half-yearly ☐ Yearly

## 6. Distribution options

State here how you wish us to handle any distributions of income we receive for assets in your CIA (tick one):

► If you leave this section blank, 6.1 will apply.



#### Interest earned on any cash held within your CIA

- If you select 6.1 or 6.2, any interest earned on cash in your CIA, will be added to the cash balance.
- However, if you select 6.3, the interest will be paid out with your income.

#### Exchange Traded Instruments (ETIs)

- If you select 6.1, any reinvestment into an ETI will incur a Dealing Charge; stamp duty and other costs may also apply. The number of units purchased will be rounded down to the nearest whole number (any excess will be held as cash in your CIA).

**6.1** Reinvest into the CIA

**6.2** Leave as cash in the CIA

**6.3** Pay the income into the bank account detailed in section 8 as follows: ► If left blank, a) will apply

- a) Immediately - Please pay income to my bank account as and when received from the asset managers.
- b) Regularly - Please pay income to my bank account as follows:

☐ Monthly ☐ Quarterly ☐ Half-yearly ☐ Yearly

## 7. Regular withdrawals ► if required



- Any instructions you give in this section will apply to your entire account, and will override any existing instructions.
- There may be tax implications if you make withdrawals from your account; please refer to your financial adviser.
- Payments will be made into the bank account you nominate in section 8.
- We will meet regular withdrawal payments in line with your instructions in section 7.3. If we are unable to do so for any reason, we will meet the payments from cash held within your CIA. However, if there is then insufficient money in cash, we will sell units proportionally from all assets in your CIA.
- If the assets to be sold include Exchange Traded Instruments (ETIs), a Dealing Charge will be incurred for each ETI sold.

### 7.1 Choose one of the following options

#### a) Regular Withdrawals of a specific amount of money

State how much you want to receive **EACH PAYMENT** £  (minimum £25)

Increase annually by: Nil - no increase required the Retail Prices Index % increase 5%

► If left blank we will assume 'nil'

OR

#### b) Regular Withdrawals of a percentage of your account value

State how much you want to receive **EACH YEAR**  %\* per year

\*This is an annual percentage; when the payment is due, we will calculate the percentage based on the value of your account at that time. We will then divide that amount by the number of payments you specify in section 7.2, to calculate the amount to be paid at that time, which must equate to at least £25.

### 7.2 Frequency

Monthly

Yearly

Specific months – tick the required months below:

Jan	Feb	Mar
Apr	May	Jun
Jul	Aug	Sep
Oct	Nov	Dec

Payment start date

► Any day from 01 - 28, if left blank we will use the next available payment date.

### 7.3 Assets to be sold

Complete the following to indicate how you wish us to meet your regular withdrawal payments:

► If you leave this section blank, 7.3a) will apply.

- Sell proportionally from all assets/portfolios (including cash held within your CIA)
- Sell the following assets/portfolios\*

	%
<b>Total</b>	<b>100%</b>

\* We cannot sell individual assets held within a portfolio, only across all assets within it.



## 8. Your bank details

We will use the information you provide in this section for making any payments to you from your CIA (for example income payments or withdrawals).



- This must be a UK bank account in the name of the charity; we CANNOT make withdrawal payments to third parties.
- We may ask to see proof of the bank account ownership. We will let you know if this is the case as soon as we can.
- Some banks or building societies cannot accept direct credits.
- If you change your bank details, or if you want to request payment to a different account in the future, just let us know. We can hold details for up to four bank accounts under your customer reference number.

Branch sort code

   -    -   

Bank/Building Society account number

Bank/Building Society name

Name of bank account holder(s)

Reference (optional)

*Any reference here will appear on your bank statements. For a Building Society account, enter the roll number.*

Bank account type

Trust

Other

## 9. Charges and fees

### Part A Quilter Charges

- Your CIA is subject to charges.
- More information about charges is in the important documents listed on page 1.

### Part B Adviser fees ► If required

**Complete this section if you wish us to deduct fees from your account for your financial adviser.**



- **Percentage fees can be entered up to two decimal places.**
- If you wish to cancel an existing fee instruction using this form, enter £0 or 0% in the boxes for the fee in question. It will be cancelled for the whole account, not just the investment in this application.
- **Servicing fees**
  - The fee is an annual amount which will be divided by the payment frequency selected and paid to your adviser accordingly.
  - If you leave the frequency blank, we will assume 'monthly'.
  - Any Servicing Fees you authorise will apply to the entire account, and will override any existing Servicing Fee instructions on your account.
  - Where a percentage fee amount is agreed, the fee paid may go up or down depending on the value of your investment on the date the fee is deducted.

**Initial Fee** ► If initial fees are required, please complete the details in section 4.

### Ongoing Servicing Fee



- The servicing fee is an annual amount including VAT, which will be divided by the payment frequency selected and paid accordingly.
- Any servicing fee authorised will override any existing servicing fee instruction on this account.

#### a) - Fixed monetary amount

Fee amount

£  each year

Frequency

Monthly

Quarterly

Half-yearly

Yearly

*b) - Fixed percentage*

Fee amount	<div><div></div></div> % of the account value each year
Frequency	<div><div>Monthly</div><div>Quarterly</div><div>Half-yearly</div><div>Yearly</div></div>

c) - Tiered percentage

Tiered fee structure name	
---------------------------	--

Insert the investment bands and their respective percentages in the table below.

Total investment* value		% Servicing fee each year
Lower limit	Upper limit	

Frequency

\* We use the combined value of the investments held under the Customer Reference number to determine the fee rate and then apply that rate to the value of this account. The fee is calculated on a daily basis using the value of the account, multiplied by the annual fee rate and divided by 365.25. The total of accrued daily fees is taken in line with the frequency selected.

Monthly      Quarterly      Half-yearly      Yearly

## 10. Declaration and signatures

References to the 'application' in this declaration include sections 11 and 12 (where completed).

Please read this section carefully – it is important that you read and understand the Terms and Conditions as well as this declaration. You should ask questions if there is anything you do not understand.

- All references to 'I', 'Me' or 'My' within this declaration mean you, as the investor.
- This declaration has 9 clauses, arranged into 5 sections:
  - 1 – My application and information
  - 2 – Keeping me informed
  - 3 – Fees
  - 4 – Asset classes
  - 5 – My declaration
- The declaration is made by each party associated with the application.

### *My application and information*

1. On the basis of the details supplied in my application:

- a) I declare that:
  - i) I am 18 years of age or over
  - ii) the entity is registered in the United Kingdom, Isle of Man, Guernsey or Jersey (this does not apply to top-ups) and will inform Quilter Investment Platform Limited ('Quilter') if this changes in the future
  - iii) I am not a US citizen or US resident for tax purposes, nor a citizen of Russia or Belarus.
- b) I understand that Quilter will administer the CIA in accordance with UK tax legislation.
- c) I confirm that if withdrawals are to be paid to a beneficiary, the beneficiary is aged 18 or over.
- d) I am acting as a trustee, or on behalf of a corporate entity, club or unincorporated association described in the application and I confirm I am suitably authorised to invest and deal in all aspects of this investment.

2. **I authorise Quilter:**
  - a) to hold the investments, interest distributions, dividends and any other rights or proceeds in respect of those investments and any other cash
  - b) to sell units or shares in investments within this account to meet any charges or fees for my financial adviser or discretionary investment manager (if applicable)
  - c) to give effect to my instructions in accordance with the Terms and Conditions.
3. **Personal information** - I confirm that:
  - a) I have read Quilter's privacy notice available at [quilter.com/privacy](https://quilter.com/privacy) concerning use of my personal information.
  - b) I have obtained the consent of any other party named in this application to use their personal data in accordance with Quilter's privacy notice.
4. **Tax information** - I understand that for regulatory purposes Quilter is required to obtain information concerning my tax status.
  - a) I declare that I will provide a completed Tax Declaration for Entities to accompany my application.
  - b) I understand that:
    - i) Quilter may need to contact me for further information regarding tax information
    - ii) where the entity is, or any controlling persons are, resident for taxation outside of the UK and/or a national/citizen in a country other than the UK, Quilter may need to share information with the relevant tax authorities.

## Keeping me informed

5. **Contract notes** - I understand that I will not receive contract notes relating to transactions involving the purchase or sale of investments, which are carried out on a periodic basis in the manner agreed to in this application. Details of these transactions will be shown in the periodic statement which will be sent to me. In particular, such transactions include:
  - regular investments payable by Direct Debit
  - phased investments
  - rebalances carried out by my financial adviser or portfolio manager (if applicable)
  - regular withdrawals
  - dividend and rebate reinvestments
  - sales of units to meet Quilter charges and fees for my financial adviser and discretionary investment manager (if applicable).



**Phased investment** allows you to invest gradually from cash in your account into your chosen investment(s) over a period of 3, 6 or 12 months.

**Rebalances** are where the weightings of portfolio assets are periodically realigned, to match the percentages set by your financial adviser or portfolio manager.

6. **Important documents** - I have been given the opportunity to read and keep the following, and to have any questions concerning them answered to my satisfaction:
  - a) Terms and Conditions, to which I agree
  - b) Key Features Document
  - c) an illustration and information about the costs and charges associated with my investment
  - d) all available Key Investor Information Documents, Key Information Documents and information about rebates, in respect of my chosen assets
  - e) Terms and Conditions for Quilter's online Customer Centre.

## Fees

7. **Facilitation of fees** - If I have authorised fees for my financial adviser or discretionary investment manager (DIM) in respect of my application:
  - a) I authorise Quilter to deduct those fees from this investment and pay them to my financial adviser or DIM (as applicable).
  - b) I confirm that:
    - i) I have agreed any authorised fees with my financial adviser
    - ii) my financial adviser has explained the effect that selling units to pay fees from my investment will have on its future value
    - iii) before I authorised these fees, my financial adviser explained the tax implications of Quilter deducting them.
  - c) I understand that:
    - i) the fees agreed will be met as follows (as applicable):
      - regular initial fees (Direct Debit), ongoing servicing fees, DIM portfolio fees and ad hoc fees - by deduction from cash in my account
      - initial fee (lump sum) - by deduction from my payment before the balance is invested into my choice of assets
      - initial fee (cash transfers) - by deduction from each cash transfer payment before the balance is invested into my choice of assets
    - ii) where fees will be met from cash in my account, if there is insufficient cash the shortfall will be met by selling proportionally from all funds in my account
    - iii) if I authorise a servicing fee or DIM portfolio fee:
      - as a percentage amount, the fee paid may go up or down depending on the value of the investment on the date the fee is calculated
      - the agreed fee will be an annual amount, which will be divided by the payment frequency selected and paid to my adviser or DIM accordingly
      - the servicing fee will apply to the entire account and will override any existing Servicing Fee on the account
      - VAT may also be payable on DIM portfolio fees.
    - iv) regular initial fee payments:
      - will be deducted at the same frequency as the Direct Debit collections, on a date based on the anniversary date of the account
      - will be deducted for the number of payments I authorise, unless my Direct Debit is cancelled in which case the fee payments will stop.

- v) Fees will be paid in line with my account Terms and Conditions and subject to the limits outlined in Quilter's Remuneration Guide for financial advisers.
  - vi) Quilter will confirm details to me of the fees applied to my account.
  - vii) I will need to reauthorise any increases to fees that have been previously agreed.
  - viii) Ad hoc, servicing and DIM portfolio fees deducted from my account will be deemed disposals for CGT purposes unless they are deducted from cash within the account.
- d) I understand that:
- i) I can cancel an adviser ongoing servicing fee at least 10 working days before it is deducted, by contacting Quilter but I cannot make changes to a discretionary management portfolio fee
  - ii) I cannot cancel a fee once it has been deducted, instead I would need to contact my financial adviser to discuss whether a refund is payable.
  - iii) if I cancel a fee, a pro rata payment may be made for the period up to the date of cancellation.

## Asset classes

8. **Exchange traded instruments (ETIs)** - Where the application includes instructions to invest into ETIs, I understand the additional charges that apply for transactions involving this type of asset as shown within the illustration.

## My Declaration

9. I declare that:
- a. my application has been completed correctly and to the best of my knowledge and belief
  - b. I have provided my correct email address to ensure that I receive notifications about my correspondence relating to this account.

**Signatures** ► all trustees/signatories must sign, if there are more than four signatories, please copy and complete this page with the additional details and attach it to your form.

<b>Signature</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity	<input type="text"/>
<b>Signature</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity	<input type="text"/>
<b>Signature</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity	<input type="text"/>
<b>Signature</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity	<input type="text"/>



- All types of investment involve some risk.
- Your account value may fall or rise and you might not get back what you put in.



## quilter.com

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### 11. Direct debit instruction

Complete this section with bank details for your regular payments by Direct Debit.

If you have completed both sections 4.4 and 4.5 in your application, print and complete another copy of this page, because we need a separate instruction for each payer's bank account.



- Direct Debit investments will CONTINUE INDEFINITELY unless we hear otherwise from you.
- We will complete the 'reference' shown on the Direct Debit Instruction; please leave this blank.
- The instruction below must be dated, and signed in accordance with the authorised signature(s) for the bank account.
- Our privacy notice is available at [quilter.com/privacy](https://quilter.com/privacy) concerning use of your personal information.



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

Quilter Investment Platform Limited,  
Quilter, SUNDERLAND, SR43 4JP.

Name and full postal address of your bank or building society

To: The Manager	
	bank/building society
Address	
	Postcode

Name(s) of accountholder(s)

Bank/building society account number

Branch sort code	-	-	Banks and building societies
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		-		-		Banks and building societies
--	--	---	--	---	--	------------------------------

Banks and building societies may not accept Direct Debit Instructions for some types of account.

**INSTRUCTION TO YOUR BANK  
OR BUILDING SOCIETY TO PAY  
BY DIRECT DEBIT.**

Service user number

1	7	4	2	7	2
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## Reference

Instruction to your bank or building society

Please pay Quilter Investment Platform 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 Quilter Investment Platform Limited and, if so, details will be passed electronically to my bank/building society.

Signature(s) \_\_\_\_\_ Date \_\_\_\_\_

Date \_\_\_\_\_



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 Quilter Investment Platform Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Quilter Investment Platform 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 Quilter Investment Platform 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 Quilter Investment Platform 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.

## 12. Managed Portfolio Service (MPS) and Discretionary Investment Manager (DIM) Portfolios

If the assets selected in section 5 include MPS or DIM portfolios, this section must be completed by your financial adviser.

### Part A - Where the assets in section 5 include any MPS portfolios

1. **I have read and agreed to the following WealthSelect Managed Portfolio Service declaration.**
2. **I confirm that I have** explained the WealthSelect Managed Portfolio Service (MPS) to my client(s) and I have their authority to use the MPS in respect of their account and I request that you invest their account into the Managed Portfolio I have selected.
3. **I confirm that** I have disclosed costs and charges to my client(s).
4. **I confirm that for each client:**
  - a) I have given advice in relation to the suitability of using the Managed Portfolio Service and to the Managed Portfolio to be selected which meets my client's needs.
  - b) I have provided the client with the factsheet for the relevant Managed Portfolio; I have given the client an opportunity to read it and they understand the investment risks relating to the Managed Portfolio Service in general and specifically to the relevant Managed Portfolio.
  - c) I am responsible for ensuring that the Managed Portfolio selected is suitable currently and on an ongoing basis in accordance with my duties under the FCA rules and the terms of business with Quilter Investment Platform Limited.
  - d) My client is aware that you, as the portfolio manager, will have complete discretion over the assets in each Managed Portfolio to buy, sell, retain, exchange or otherwise deal in assets, take all routine and day-to-day decisions about the asset allocation of the Managed Portfolios, and that the client and I are not permitted to provide such dealing instructions or modifications to the Managed Portfolio.
  - e) My client accepts that the agreement to provide the Managed Portfolio Service is between you and me, and I am offering this service to them as part of my agreement with them.
5. **Where a portfolio that has an explicit Managed Portfolio Service Charge is chosen**
  - a) I have informed my client and they have agreed that, while the Managed Portfolio Service is in use for their account, a Managed Portfolio Service Charge will be applied in accordance with the latest Terms and Conditions for that account.  
I have explained that:
  - b) The Managed Portfolio Service Charge will be applied as a percentage of the value held within the Managed Portfolio Service and that the amount of the charge may go up or down depending on the value of the investments.
  - c) The Managed Portfolio Service Charge is accrued daily and will be deducted from the account on the Account Charge Date.
  - d) I understand and have informed my client that switches made by you, as the portfolio manager, take no account of a client's tax affairs and may be disposals for Capital Gains Tax purposes. I understand that you, as the portfolio manager, are not liable for any Capital Gains Tax incurred by the client as a result of any switches made to their account to review and adjust the asset allocation for the selected Managed Portfolio.
6. **My client understands that** deductions to meet withdrawals cannot be taken from individual assets within the Managed Portfolio, only from the Managed Portfolio as a whole.
7. **My client has a copy** of the latest Charge Basis 3 Terms and Conditions which includes the WealthSelect Managed Portfolio Service. They have had an opportunity to read the conditions and restrictions relating to their account while the Managed Portfolio Service is in use before agreeing to the use of the Managed Portfolio Service.

The latest version of the Terms and Conditions can be found on our website [quilter.com](https://www.quilter.com)

### Part B - Where the assets in section 5 include any DIM portfolios

1. **I have read and agreed to the following discretionary managed model portfolio declaration.**
2. **I confirm that** I have explained the discretionary managed model portfolio service to my client(s) and I have authority from my client(s) to use the discretionary managed model portfolio(s) selected in respect of their account and I request that you invest their account into the model portfolio(s) I have selected.
3. **I confirm that** I have disclosed costs and charges to my client(s). I have printed/will print an Adviser Fee Authorisation form for my client(s) to sign and will retain a copy of this confirming their acceptance of the discretionary management portfolio fee (if applicable) associated to the model(s).
4. **I understand that** Quilter may ask for sight of the signed Adviser Fee Authorisation form in the future.
5. **I confirm that** for each client:
  - a) I have given advice in relation to the suitability of using the discretionary managed model portfolio(s) selected which meets my client's needs.
  - b) I am responsible for ensuring that the discretionary managed model portfolio(s) is suitable currently and on an ongoing basis in accordance with my duties under the FCA rules.
  - c) My client is aware that the portfolio manager will have complete discretion over the assets in each discretionary managed model portfolio to buy, sell, retain, exchange or otherwise deal in assets, take all routine and day-to-day decisions about the asset allocation of the discretionary managed model portfolio, and that the client and I are not permitted to provide such dealing instructions or modifications to the discretionary managed model portfolio.
  - d) My client accepts that the agreement to provide the discretionary managed model portfolio is between the discretionary investment manager and me, and I am offering this service to them as part of my agreement with them.
  - e) My client has been made aware of the roles and responsibilities of the discretionary manager in line with regulatory guidance.

Financial adviser's signature

Date

Print name

Completing the document on screen?

**IMPORTANT:** First save it to your desktop. Then open it in **Adobe Acrobat** before filling it in. This ensures the information is saved correctly.

# Quilter

## Tax Declaration for Entities

– For the Collective Investment Account (CIA) or Collective Investment Bond (CIB)

### This form is needed for the following:

- ☒ new investments into the CIA or CIB by a Trust; Company/Partnership; Registered Charity; Registered Pension Scheme; Insurance Company; Club/Association, referred to as 'entities'
- ☒ where an existing account is transferred or assigned to an entity, eg when using a Quilter trust deed.
- ☒ existing accounts where there has been a change in circumstances of the entity or a controlling person (such as a change of address, tax residency or nationality)

We regularly update our forms; your financial adviser can confirm that this **January 2026** version is the latest by checking on our website [quilter.com](https://quilter.com)



### Completing this form:

- **Option 1 (electronic):** Save the form to your desktop, open it in **Adobe Acrobat** to complete the editable fields, then either print and sign it, or sign it digitally.
- **Option 2 (by hand):** Print the form and complete it in BLOCK CAPITALS using blue or black ink.
- **Date Format:** please use **DD/MM/YYYY**.
- We've provided notes and definitions at the back of this form to aid with completion.
- References to Quilter in this form mean Quilter Life & Pensions Limited or Quilter Investment Platform Limited.



### You must complete all sections indicated for your entity type

- Failure to provide all relevant information may result in a delay to your instruction and/or cause the entity to become reportable.
- The declarations made in this form will remain valid until there has been a change in circumstances for the entity or controlling persons. In this event you must provide an updated declaration within 90 days of the event.



### How to send us your form

Send your scanned form to us via PROMPT, our tool for uploading documents direct to us.

- Advisers, visit: [quilter.com/Adviser-Prompt](https://quilter.com/Adviser-Prompt)
- Customers, visit: [quilter.com/Customer-Prompt](https://quilter.com/Customer-Prompt)



OR

Send your scanned form securely by email to:

[ask@quilter.com](mailto:ask@quilter.com)



Alternatively, you can send your form by post to: Quilter, SUNDERLAND, SR43 4JP.



## Part 1. The entity

### COMPLETE THIS SECTION IN ALL CASES

Entity's name

(this is also the name of the applicant/account holder)

Entity's address

Postcode

Entity's reference number\*

(company, charity or pension scheme)

\*This is any reference issued to the entity on registration with its governing body, eg company number, charity number, pension scheme reference.

Entity's Legal Entity Identifier (LEI\*\*) ▶ If applicable

						0	0												
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Entity's account details

Account number ▶ If known

Customer reference

Account

A	C																		
---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

OR

Bond number (CIB only) ▶ If known

3																			
---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Entity type\*\*

Use the table below to indicate the entity type (tick one)

Entity type		Classification	Tick one	Next step
Trust	Non-Professionally Managed	Passive Non-Financial Entity		Proceed to Parts 2, 3 and 4
	Professionally Managed (by a corporate entity acting as trustee)	Non-reporting Financial Institution managed by a Reporting Financial Institution		Provide the trustee company's GIIN and proceed to Part 4
Company/ Partnership	Non-Trading Company	Passive Non-Financial Entity		Proceed to Parts 2, 3 and 4
	Trading Company	Active Non-Financial Entity		Proceed to Part 4
Registered Charity	Investment Entity	Financial Institution		Provide the charity's GIIN and proceed to Part 4
	Not-for-profit charity	Active Non-Financial Entity		Proceed to Part 4
Club/Association		Active Non-Financial Entity		Proceed to Part 4
Registered Pension Scheme		Non-Reporting Financial Institution		Proceed to Part 4
Insurance Company		Financial Institution		Provide the insurance company's GIIN and proceed to Part 4
Other** - provide details				Refer to the notes and definitions for next steps

Global Intermediary Identification Number (GIIN)

Provide the entity's GIIN if indicated in the table above

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

If there is no GIIN, you must explain why:

(eg confirm the entity's classification under FATCA regulations)

▶ If you do not have a GIIN, we may request additional information from you.




\*\*See the notes and definitions for more information.



## Part 2. Tax residency

### ONLY COMPLETE THIS SECTION IF INDICATED IN PART 1

Please indicate the country(ies) in which the entity is tax resident. For each country provide the Tax Identification Number (TIN) issued to the entity by that country.



See the notes and definitions for more information on TINs.

Country of tax residency	Tax Identification Number (TIN)	Type of TIN

If a TIN has not been provided, tick below to indicate why:

Entity is a new Quilter trust, which has not yet registered with HMRC's Trust Register

►The trustees have 90 days from the trust date to register. You must send the proof of registration document to Quilter.

Entity is a UK trust, which is exempt from registration with HMRC's Trust Register

The country of residence does not issue TINs to this type of entity

The entity does not require a TIN - please explain why below

Other - please explain why below

## Part 3. Controlling persons

### ONLY COMPLETE THIS SECTION IF INDICATED IN PART 1



- A controlling person is any individual who has, or is deemed to have, influence or control over the entity.
- This usually includes the settlor, trustee, protector and beneficiary (trusts) or directors and shareholders (companies). See the notes and definitions for help identifying the controlling persons.

Tick one of the following:

All controlling persons are British citizens and UK tax resident only - **No further information required in Part 3. Go to Part 4**

One or more controlling persons is a national, citizen or tax resident in a country other than, or in addition to, the UK - **Complete the remainder of Part 3**

►You must provide their details in this section and list all countries in which they are a national, citizen or tax resident (including the UK, if applicable).

Role	Settlor	Trustee	Protector	Beneficiary (or included in a class of beneficiaries)	
	Director	Shareholder			
Title	Mr	Mrs	Miss	Ms	Other ► Please specify <input type="text"/>
First name(s)	<input type="text"/>				
Surname	<input type="text"/>				
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Country of birth <input type="text"/>
Residential address	<input type="text"/>				
	Postcode <input type="text"/>				

List all countries in which the controlling person is a national, citizen or tax resident (including the UK, if applicable)

Country	Status* (tick all that apply)	Tax Identification Number(s) (TIN)	Type of TIN
	National/Citizen	Tax resident	
	National/Citizen	Tax resident	

If a TIN has not been provided, please indicate why:

The country's tax authority has not issued a TIN to the controlling person.

Other - Please explain

► If there are more than three controlling persons, use copies of this page to provide the same details for the others.

Role	Settlor Director	Trustee Shareholder	Protector	Beneficiary (or included in a class of beneficiaries)	
Title	Mr	Mrs	Miss	Ms	Other ► Please specify <input type="text"/>
First name(s)	<input type="text"/>				
Surname	<input type="text"/>				
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Country of birth <input type="text"/>
Residential address	<input type="text"/>				
	Postcode <input type="text"/>				

List all countries in which the controlling person is a national, citizen or tax resident (including the UK, if applicable)

Country	Status* (tick all that apply)	Tax Identification Number(s) (TIN)	Type of TIN
	National/Citizen	Tax resident	
	National/Citizen	Tax resident	

If a TIN has not been provided, please indicate why:

The country's tax authority has not issued a TIN to the controlling person.

Other - Please explain

Role	Settlor Director	Trustee Shareholder	Protector	Beneficiary (or included in a class of beneficiaries)	
Title	Mr	Mrs	Miss	Ms	Other ► Please specify <input type="text"/>
First name(s)	<input type="text"/>				
Surname	<input type="text"/>				
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Country of birth <input type="text"/>
Residential address	<input type="text"/>				
	Postcode <input type="text"/>				

List all countries in which the controlling person is a national, citizen or tax resident (including the UK, if applicable)

Country	Status* (tick all that apply)	Tax Identification Number(s) (TIN)	Type of TIN
	National/Citizen	Tax resident	
	National/Citizen	Tax resident	

If a TIN has not been provided, please indicate why:

The country's tax authority has not issued a TIN to the controlling person.

Other - Please explain



\*For the purpose of completing this tax declaration, you are required to ignore any double taxation treaties which may make you 'treaty resident/non-resident' in certain jurisdictions.

## Part 4. Declarations



- This declaration can be made by **one or more of** the trustees, company directors, scheme administrators, or other signatory(ies) authorised to represent the entity.
- Alternatively, the financial adviser, as agent, may make the declaration on behalf of the entity.

The declaration is made by each person signing below.

1. I declare that the information provided in this Tax Declaration is, to the best of my knowledge and belief, accurate and that the statements made herein are true and complete.
2. I agree to notify you within 90 days if any information contained in this Tax Declaration changes, for example where the controlling persons change. I understand that this will require a new Tax Declaration form to be completed.
3. I understand that the information collected in this Tax Declaration may be disclosed to HM Revenue & Customs which may, under a relevant inter-governmental agreement, provide the information to an overseas tax authority.
4. I understand that any missing or incomplete information may delay my instruction to Quilter and cause the entity to become reportable.
5. **Personal information** – I confirm that:
  - a) I have read Quilter's privacy notice available at [quilter.com/privacy](https://quilter.com/privacy) concerning use of my personal information.
  - b) I have obtained the consent of any other party named in this Tax Declaration to use their personal data in accordance with Quilter's privacy notice.

By signing below I confirm that I have read the above declaration and, if a third party has completed this form on behalf of the entity, that all the information provided within it is correct.

Signature:	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing*	<input type="text"/>
Signature:	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing*	<input type="text"/>
Signature:	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing*	<input type="text"/>
Signature:	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing*	<input type="text"/>

\*eg trustee, company director, scheme administrator, signatory, financial adviser



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## Tax Declaration for Entities

### Notes and definitions

These notes are for you to keep; please read them before completing and submitting the form.

#### *Why is a tax declaration needed?*

- Under Automatic Exchange of Information (AEOI) regulations, Quilter is required to gather information about an entity's tax residency. In some circumstances this also includes the tax residency, nationality or citizenship of persons who are deemed to have control over the entity, such as trustees.
- AEOI is a term that covers Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS). These regulations are a commitment made by governments to exchange information about financial accounts held by taxpayers in another participating country.



#### **Completion of the tax declaration is compulsory**

- If any information is missing or incomplete, your instruction to us will be delayed and cause the entity to become reportable.
- For further information of AEOI regulations, please refer to the Q&A on our website, visit [quilter.com](https://www.quilter.com) and search 'Tax Declaration Questions and Answers'.

### *Part 5. The entity*

#### *Legal Entity Identifier (LEI)*

- An LEI is a 20-character code used to track the identity of any entity entering into a transaction via a stock exchange.
- This is only applicable where the entity has, or is applying for, a Collective Investment Account (CIA) which holds Exchange Traded Instruments (ETIs).
- Failure to provide the entity's LEI will delay your instruction.

#### *Entity Type*

Entity type		Description
Trust	Non-Professionally Managed	A trust where all trustees are individuals, eg, family and friends of the settlor. This also applies where a professional individual (such as a solicitor) has been personally appointed as a trustee.
	Professionally Managed <i>(by a corporate entity acting as trustee)</i>	A trust where at least one trustee is a corporate entity which provides professional trustee management services.
Company/Partnership	Non-Trading Company	A company where the majority of the entity's activities, assets and income are related to holding or making investments.
	Trading Company	A company (including partnerships) where the majority of the entity's activities, assets and income are related to the provision of goods and services.
Registered Charity	Investment Entity	A charity where 50%+ income/assets are held through investment activity.
	Not-for-profit charity	Assets and income applied for charitable purposes only.
Club/Association		Includes sporting/hobby clubs and religious groups, not otherwise registered as a charity, incorporated or established by trust deed. Assets and income are applied for the purpose for which the organisation was established.

*continued*

Entity type	Description
<b>Registered Pension Scheme</b>	A registered pension scheme, where the Quilter CIA will be held as an asset of the scheme.
<b>Insurance Company</b>	Providers of onshore or offshore investment bonds, where the Quilter CIA will be held as an asset of the bond.
<b>Other</b>	<p>Use this option if your entity type is not listed, or if your entity's classification under FATCA/CRS differs from the default provided in the table.</p> <ul style="list-style-type: none"> <li>- Use the space provided to state the nature of the entity and how it is classified under FATCA/CRS.</li> <li>- Provide a GIIN if applicable.</li> <li>- If the entity is a Passive Non-Financial Entity, you must also complete Parts 2 and 3.</li> <li>- Part 4 must be completed in all cases.</li> </ul> <p>We may request additional information before proceeding with your instruction.</p>

### Global Intermediary Identification Number (GIIN)

- We have requested a GIIN if your entity type is usually classed as a 'Financial Institution' under FATCA regulations, or has a trustee, which is itself a Financial Institution.
- Financial Institutions are required to register for a GIIN and comply with FATCA regulations.
- If the entity or trustee does not have a GIIN you must instead state the entity's classification under FATCA. For example some Financial Institutions also fall under the classification of 'Exempt Beneficial Owner'.



**For guidance, please refer to the FATCA agreement for your jurisdiction:**

<https://home.treasury.gov/policy-issues/tax-policy/foreign-account-tax-compliance-act>

## Part 6. Tax residency

### The entity's Tax Identification Number (TIN)

A TIN is a number used by the entity when reporting/registering with the tax authority. Common examples are given below.

Jurisdiction	Trust	Company
<b>UK</b>	<p><b>Unique Tax Reference (UTR)</b> issued when registering a taxable trust and used for trustee tax returns.</p> <p>If registering a non-taxable trust you will be issued with a <b>Unique Reference Number (URN)</b> - <b>Enter this instead.</b></p>	<b>Unique Tax Reference (UTR)</b> issued when incorporated and used for filing company accounts.
<b>Jersey</b>	Revenue Jersey issues all registered entities with a 10-digit tax identification number.	
<b>Guernsey</b>	Guernsey does not usually issue TINs to trust entities.	Company registration number issued by the Guernsey Registry usually between 1 and 6 digits.
<b>Isle of Man</b>	Tax reference number issued when registering with the income tax division.	

## Part 7. Controlling persons

You must identify any controlling person who is a national, citizen or tax resident of a country other than the UK.

### What is a controlling person?

- A controlling person is any individual who has, or is deemed to have, influence or control over the entity or has a majority ownership interest in an entity.
- To help you, we've identified common roles within an entity, which meet this description under the regulations. However, if the entity has any other controlling persons, you must include these too.

Entity	Controlling persons
Trust	<ul style="list-style-type: none"><li>– Settlor (if living at the time of completion)</li><li>– Trustees</li><li>– Protector</li><li>– Any beneficiary or member of a class of beneficiaries. This includes (but is not limited to):<ul style="list-style-type: none"><li>• beneficiaries with an absolute entitlement</li><li>• the life tenant of an interest in possession trust</li><li>• any beneficiary in receipt of payments from the trust (or will be once the Quilter account is open)</li></ul></li></ul>
Company	<ul style="list-style-type: none"><li>– The directors</li><li>– Any shareholder with 25%+ share holding</li><li>– Any shareholders with voting rights</li></ul>



You only need to provide details of controlling persons who are national, citizen or tax resident in a country other than, or addition to, the UK.

**National** and **Citizen** may have different meanings under local law. However, they usually apply to a person who has the right to live or work in a country.

**Tax resident** refers to a person who is resident or deemed resident in a country for the purpose of reporting tax. Their status may be affected by the amount of time spent in a country or whether they're considered a national or citizen.

A person can be a national, citizen or tax resident of more than one country. If you are unsure seek suitable advice.

### Tax Identification Number (TIN) for controlling persons

- A TIN is a number issued by the country's tax authority, usually automatically and on becoming resident in the country.
- The following TIN types are required for the UK and Crown Dependencies:

Jurisdiction	Type of TIN
UK	National Insurance Number
Jersey	Social Security Number
Guernsey	Social Security Number
Isle of Man	National Insurance Number



For guidance on TINs for other countries see:

[www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers](https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers)

### quilter.com

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### Completing the document on screen?

**IMPORTANT:** First save it to your desktop. Then open it in **Adobe Acrobat** before filling it in. This ensures the information is saved correctly.

# Confirmation of Verification of Identity (CoVI) - Entities

– *Collective Investment Account (CIA) and Collective Investment Bond (CIB)*

For use by financial advisers only

## With this form you can:

- ☒ provide verification of identity for the entity types listed below\* and their associated parties\*\*

\*Entity types include: Trust; Company/Partnership; Registered Charity; Registered Pension Scheme; Insurance Company; Club/Association (such as a sports, hobby or religious group, which is not registered as a charity, limited company, or a trust).

\*\*Associated parties to be verified are listed in the guidance notes at the end of this form.

## It should not be used:

- ☒ if you are not a financial adviser, however you can confirm the identity of an entity and associated parties by sending documents outlined in our acceptable proof of identification guide. Visit [quilter.com](https://quilter.com) and search 'acceptable proof of identification'.
- ☒ to confirm the identity of individuals, for which there is a separate CoVI available from our website [quilter.com](https://quilter.com)
- ☒ to verify the identity of CashHub investors, which is subject to a separate process.

We regularly update our forms; you can confirm that this **January 2026** version is the latest by checking our website [quilter.com](https://quilter.com)



## This form is required when:

- placing a new or existing account into trust
- applying for a new account on behalf of one of the above types of entity
- when adding new trustees or signatories to an existing account.



- Using this form allows you, in your role as financial adviser, to confirm that you have obtained evidence to verify the identity of the entity\* and associated parties\*\*, as set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group (JMLSG).
- Unless indicated, you do not need to send copies of the evidence you have obtained but must be able to produce it when requested by Quilter.



## Completing this form

- Use BLOCK CAPITALS and blue or black ink. For dates, please use the format day/month/year (DD/MM/YYYY).



- If you are a trustee, you must also provide the 'proof of registration' document for your trust. Please see the guidance at the end of this form for details.



## How to send us your form(s)

Send your scanned form(s) to us via PROMPT, our tool for uploading documents direct to us. Visit:

[quilter.com/Adviser-Prompt](https://quilter.com/Adviser-Prompt)



OR

Send your scanned form(s) securely by email to:

[ask@quilter.com](mailto:ask@quilter.com)



Alternatively, you can send your form(s) by post to: Quilter, SUNDERLAND, SR43 4JP.



## 1. The entity

### COMPLETE THIS SECTION IN ALL CASES

Customer Reference	<table><tr><td>A</td><td>C</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>	A	C								
A	C										
Entity name	<div></div> <p><i>(This is also the name of the account holder)</i></p>										
Type of entity	<table><tr><td>Trust</td><td>Company/Partnership</td><td>Club/Association</td></tr><tr><td>Charity</td><td>Pension Scheme</td><td>Insurance company</td></tr></table>	Trust	Company/Partnership	Club/Association	Charity	Pension Scheme	Insurance company				
Trust	Company/Partnership	Club/Association									
Charity	Pension Scheme	Insurance company									
Email address	Telephone										
Registered address <i>(UK, Isle of Man, Guernsey or Jersey)</i>	<div></div> <div></div> <div>Postcode</div>										
Correspondence address <i>(if different from above)</i>	<div></div> <div></div> <div>Postcode</div>										
Registration/reference for the entity <i>(if applicable)</i>	<p>Give the registration number provided by the governing body (if any), eg Trust Registration Number, Registered Charity Number, Pension Scheme Reference (PSTR), Company Registration Number.</p> <div></div>										

## 2. Associated parties



The associated parties to be verified are listed in the guidance notes at the end of this form.

### COMPLETE THIS SECTION FOR EACH ASSOCIATED PARTY

► Use Part A if the associated party is an individual, or Part B if it is another entity.

#### Part A - Individual

The associated party is a:	Trustee	Beneficiary	Director/Partner	Shareholder	
	Club Officer/Signatory	Other ► <i>please specify</i>			
Title	Mr	Mrs	Miss	Ms	Other ► <i>Please specify</i>
First name(s)	<div></div>				
Surname	<div></div>				
Date of birth	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
Email address	<div></div>	Telephone	<div></div>		
Permanent UK residential address	<div></div> <div></div> <div>Postcode</div>				
The associated party is a:	Trustee	Beneficiary	Director/Partner	Shareholder	
	Club Officer/Signatory	Other ► <i>please specify</i>			
Title	Mr	Mrs	Miss	Ms	Other ► <i>Please specify</i>
First name(s)	<div></div>				
Surname	<div></div>				
Date of birth	<div></div>	<div></div>	<div></div>	<div></div>	<div></div>
Email address	<div></div>	Telephone	<div></div>		
Permanent UK residential address	<div></div> <div></div> <div>Postcode</div>				



If there are more than four associated parties, please provide the same information for any additional parties by using a copy of this page.

**The associated party is a:**

Trustee      Beneficiary      Director/Partner      Shareholder  
Club Officer/Signatory      Other ▶ *please specify*

Title      Mr      Mrs      Miss      Ms      Other ▶ *Please specify*

First name(s)

Surname

Date of birth

Email address

Telephone

Permanent UK residential address

Postcode

**The associated party is a:**

Trustee      Beneficiary      Director/Partner      Shareholder  
Club Officer/Signatory      Other ▶ *please specify*

Title      Mr      Mrs      Miss      Ms      Other ▶ *Please specify*

First name(s)

Surname

Date of birth

Email address

Telephone

Permanent UK residential address

Postcode

***Part B - Associated party is a different entity***

**Type of entity**

Company providing professional trustee services  
Other ▶ *please specify*

Name of entity

Email address

Telephone

Registered address

Postcode

Company registration number



Please provide an authorised signatory list for the entity - see guidance notes.

### 3. Trust registration

#### THIS SECTION APPLIES TO ALL TRUSTS - all other entities continue to section 4.

All UK resident 'express' trusts are required to be registered with HM Revenue & Customs' (HMRC) Trust Registration Service (TRS). To meet anti-money laundering requirements you are required either to provide the 'Proof of Registration' document or confirm on behalf of the trustees that the trust is exempt.

#### Please tick one of the following

**A new trust has been created using a Quilter draft trust deed (includes the CIA Designated Account Request form) to be applied to a new or existing account.**

*The trustees must register the trust and you must send Quilter the proof of registration document within 90 days of the declaration date on the deed. You may provide the proof of registration document with this form if the trust is already registered.*

**An existing trust is applying for a new account**

*You must include the proof of registration document with this form.*

**An account is to be assigned/transferred to the trustees of an existing trust**

*You must include the proof of registration document with this form.*

**An amendment has been made to an existing account held by the trust.** This includes:

- adding trustees
- a change in the personal details of a trustee or beneficiary listed on the account.

*You must include the updated proof of registration document with this form, reflecting the changes made.*

**The trust is exempt from registration**

*No proof of registration document is required.*



#### Help with Trust Registration

- In accordance with HMRC guidance, we can only accept the official Proof of Registration document, which can be accessed by the trustees through their government gateway account (or registering agent). We are not permitted to accept any other document, letter or a 'declared copy' of your registration.
- The information on the proof of registration, such as trustees'/beneficiaries' name, date of birth and residency, must match that provided to Quilter. If there is a discrepancy, your proof of registration document will be rejected. If the discrepancy is not resolved Quilter must report it to HMRC
- Failure to provide a Proof of Registration document, missing or inaccurate information may result in a delay to your application/instruction and trigger a potential fine from HMRC of £5,000
- Quilter has a guide for trustees to help with registration and obtaining the Proof of Registration document.

[qip22888\\_registering\\_trust-guide.pdf](#)

**If you experience any issues when registering, or obtaining the proof of registration document, contact HMRC on 0300 123 1072.**

#### 4. Declaration and signature ► To be completed by a financial adviser



This form cannot be used to verify the identity of anyone who 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 who have been subject to Simplified Due Diligence under the Money Laundering Regulations,
- those whose identity has been verified using the source of funds as evidence.

Evidence of identity must be provided to us for any such cases.

1. I confirm that:

- All information provided in this CoVI form is, to the best of my knowledge and belief, accurate and that the statements made herein are true.
- I have verified the identity of the entity referred to in section 1 and all associated parties referred to in section 2 of this form, other than any listed in f) below
- the information in this form was obtained by me in respect of those parties
- the evidence I have obtained to verify the identity of the entity and associated parties meets, or exceeds, the standard of evidence set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group (JMLSG), and any evidence can be produced on demand
- if any individual referred to in this form has changed address within the last three months, I can provide evidence on demand
- I have not verified the identity of the parties named in the box below because they are exempt from verification under Money Laundering Regulations

g) this section is signed below by the person who has seen the documentary evidence (which may include an electronic identity check).

h) **for trusts only**, I have read the information in section 3 of this form and I have provided/will provide the Proof of Registration document as instructed.

Financial adviser's signature

Date

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

Print name

Position

Email address

Telephone number

Full name of regulated firm  
(or sole trader)

Financial Services  
number



[quilter.com](https://quilter.com)

Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years. Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB).

Quilter Investment Platform Limited and Quilter Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively.

Registered Office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB, United Kingdom. Quilter Investment Platform Limited is authorised and regulated by the Financial Conduct Authority. Quilter Life & Pensions Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Their Financial Services register numbers are 165359 and 207977 respectively. VAT number 386 1301 59.

# CoVI - entity applicants

## Guidance Notes

### *Associated parties*

The associated parties to be identified in this form are given in the table below. We may request additional information or supporting evidence once we have reviewed your application/instruction.

Entity Type	Associated parties	Notes
Trusts	<ul style="list-style-type: none"><li>– All trustees</li><li>– Settlor (if living at the time of completion)</li><li>– Beneficiaries:<ul style="list-style-type: none"><li>• any who are 18+ and have an absolute interest in the trust fund</li><li>• any who are in receipt of payments from the Collective Investment Bond / Collective Investment Account</li></ul></li></ul>	You must also provide the Proof of Registration document, if applicable. The associated parties listed in this CoVI should also be listed on the proof of registration.
Private Company/ Partnership	<ul style="list-style-type: none"><li>– All directors/partners</li><li>– Shareholders with 25%+ shareholding (if not already covered as a director)</li></ul>	<ul style="list-style-type: none"><li>– The entity must be registered in the UK, Channel Islands or Isle of Man.</li><li>– If it is not possible to verify the entity on a public register, we may request further documentary evidence, which confirms the creation and nature of the entity, along with details of individuals with influence and control over the entity.</li></ul>
Registered Charity	Any person or other entity acting as signatory on the account with Quilter who is not: <ul style="list-style-type: none"><li>– Listed as a trust/officer on a public register of the charities.</li><li>– An employee of the charity.</li></ul>	
Registered Pension Scheme	Any person or other entity acting as trustee of the scheme.  Example, Pension Scheme Trustees, or where a Scheme Member is acting as a signatory or Trustee.  You do not need to provide the names of individuals employed in the administration of the scheme.	
Clubs / Associations	<ul style="list-style-type: none"><li>– Any person or other entity acting as signatory on the account with Quilter.</li></ul>	
Insurance Company	There are no associated parties.	

### *Authorised signatory list*

In some cases, the details captured in this form under Anti-Money Laundering Regulations may not be those who will be instructing Quilter in the creation or administration of the account. For example, an employee of a Company, Pension Scheme, Charity or Insurance Company who is authorised in the management of the entity's assets.

In these cases you should send us an authorised signatory list. This is a document issued by the entity which contains names and sample signatures of those authorised to act on its behalf. The document may also indicate how many signatures are required to authorise an instruction.

An authorised signatory list cannot be used by a trust entity, but can be used by a professional trustee company which has been appointed as trustee.

Completing the document on screen?

**IMPORTANT:** First save it to your desktop. Then open it in **Adobe Acrobat** before filling it in. This ensures the information is saved correctly.

# Quilter

## Transfer authority

- *Collective Investment Account (CIA)*
- *Trust, corporate or pension scheme applicants*



- A separate form will be required for each existing provider you wish to authorise (referred to in this form as 'ceding provider').
- Missing information will cause delays.
- You can only transfer units/shares that the applicant already owns and that are in the name of the trust/company/pension scheme (or held on its behalf by a nominee).
- Do not use this form for individual investors, for which there is a separate form.

We regularly update our forms; your financial adviser can confirm that this **October 2025** version is the latest by checking on our website [quilter.com](https://quilter.com)



### How to complete your form

- Use **BLOCK CAPITALS** and **blue** or **black** ink. For dates, please use the format DD/MM/YYYY.
  - ▶ We recommend that you print and sign the form by hand, as some providers won't accept a digital version. Submitting one could therefore delay your transfer.
- Send the completed form to: Quilter, SUNDERLAND, SR43 4JP.

### 1. Investor details

Name

▶ The trust/company/pension scheme name

Registered address

Postcode

Company registration number

▶ UK companies only

PSO/PSTR number

▶ Pension schemes only

Account number with Quilter

### 2. Fund manager or product provider's details

▶ If the details you give differ from the ceding provider's records, the transfer will be delayed

Name of fund manager  
or product provider

Address of fund manager  
or product provider

Postcode

▶ This must be the current address to avoid any delays with the transfer or the need to complete a replacement authority.

Fund manager or product provider's  
reference number

▶ Some fund managers/providers require a separate form for each reference number.

Designation (if applicable)



### 3. Transfer details

Transfer type

Cash transfer - go to section 4

Re-register assets - go to section 5

### 4. Cash transfer



- For a cash transfer, the assets will be sold and the cash proceeds transferred to Quilter; this could cause a CGT liability.
  - Any sale of Exchange Traded Instruments (ETIs) may incur the ceding manager's dealing charges.
- **Full transfers:**
  - If any assets are suspended and cannot therefore be sold, we will arrange to re-register the suspended asset (where possible) provided at least one other asset can be transferred as cash.
- **Partial transfers:**
  - If any assets are suspended and cannot therefore be sold, we will seek revised instructions
  - If your current provider cannot carry out partial transfers, we will contact you to discuss your options.

4.1 Value to be transferred\*

£

*\*For full transfers enter the estimated current value; for partial transfers, enter the amount to be transferred.*

4.2 Full or partial transfer

Full

Partial

### 5. Assets to be re-registered



- If any assets listed in section 5.2 cannot be re-registered for any reason, they will be sold and the proceeds placed in cash within the CIA. You can then switch from cash into a revised asset choice.
- If assets are sold, this could cause a CGT liability. Any sale of Exchange Traded Instruments (ETIs) may incur the ceding provider's dealing charges.
- If any assets to be re-registered are currently held as part of a model portfolio, the model will need to be 'deconstructed' with the current provider first, then the individual assets re-registered to us.
- If we hold a preferential share class for an asset being re-registered, we will convert the asset to the preferential share class once it has been re-registered.
- **Full transfers:**
  - If any assets are suspended or 'closed to purchases', we can still carry out a full transfer provided at least one of the assets is not suspended or closed to purchases.
  - Use the option beneath the table in section 5.2 to give instructions for any assets not listed.
- **Partial transfers:**
  - If any of the assets are suspended or 'closed to purchases', we will not be able to carry out a partial transfer.
  - If there is insufficient space to list all assets to be re-registered, please provide the additional details on a signed copy of section 5.2.
  - If your current provider cannot carry out partial transfers, we will contact you to discuss your options.

5.1 Residual cash value\*

£

*\*This is the cash amount held by the ceding provider in the investment, which is also to be transferred.*

5.2 Complete the table below with details of the assets to be re-registered. ► *To re-register an entire asset, write 'all' as the number of units.*

Assets to be re-registered	Inc/Acc	No. of units

– Full or partial transfer

Full\*\*

Partial

\*\*Any assets not listed above for a full transfer should be:

Re-registered

Sold and transferred as cash proceeds

► *If neither box is ticked, we will re-register any remaining assets, where possible.*



## 6. Authority

This authority is given by each of the undersigned.

1. I authorise the ceding provider named in this form to carry out the transfer as indicated and to provide Quilter Investment Platform Limited with any information it may require.
2. I confirm that this transaction is exempt from Stamp Duty Reserve Tax (SDRT) by virtue of Paragraph 6 of Schedule 19 of the Finance Act 1999.
3. **If I have requested re-registration:**
  - I authorise the ceding provider to re-register the assets as detailed with immediate effect to Quilter Investment Platform Nominees Limited – Designation: 'OMWL', Senator House, 85 Queen Victoria Street, London, EC4V 4AB.
  - I understand that where Quilter holds a preferential share class for an asset being re-registered, Quilter will convert the asset to the preferential share class once it has been re-registered.
  - I authorise the ceding provider to sell any of my assets that cannot be re-registered for whatever reason, and to transfer the cash proceeds in pounds sterling to Quilter.
  - I confirm that the re-registration of the assets held will not change the beneficial ownership from the current holder.
4. **If I have requested a cash transfer:**
  - I authorise the ceding provider to sell the assets and to transfer the cash proceeds in pounds sterling to Quilter
  - and an asset included in my request is suspended, I authorise the ceding provider to re-register the asset in line with point 3.
5. I authorise the ceding provider to transfer any cash proceeds to Quilter Investment Platform Ltd, Transfers Client Account (NatWest, sort code 56-00-68, account number 44842880) stating the account number with Quilter as the reference, if given in section 1 (or, if blank, the investor name).
6. I understand that any sale of assets could cause a Capital Gains Tax liability and any sale of Exchange Traded Instruments (ETIs) may incur the ceding provider's dealing charges.

Signature:	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity *	<input type="text"/>
Signature:	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity *	<input type="text"/>
Signature:	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity *	<input type="text"/>
Signature:	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity *	<input type="text"/>

\*eg trustee, signatory



[quilter.com](https://quilter.com)

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