

Loan Trust application

– for a Collective Investment Bond (CIB)

For completion with a financial adviser

With this form you can:

- ☒ invest in a new CIB
- ☒ top up an existing CIB.



- The Loan Trust will need to be in place before the investment can be made.
- For top-ups, an additional loan agreement should be in place.
- **If the Loan Trust is being set up using a Quilter trust deed:**
 - we will need to see the deed before the investment is made
 - to comply with relevant HMRC guidelines and trust laws, the dating sequence for the related documents is imperative.They need to be dated in this order:
 1. cheque
 2. trust deed
 3. this application form.

We regularly update our forms; your financial adviser can confirm that this **October 2025** version is the latest by checking our website 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 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.
- The settlors of the trust may need to sign this form in addition to the trustees - see section 5 for more information.



Additional documents we need

- **Tax Declaration and CoVi form** (at the end of this application) - for new investments, this form must also be completed and returned to us, otherwise the investment will be delayed.



Send your completed form 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 you need to read before completing your application

Your financial adviser will have provided you with the following:

- **CIB Key Features Document**
- **CIB Terms and Conditions for Charge Basis 3**
- **Costs and Charges documents**
- **Key Information Document (KID)** in respect of the CIB
- **Asset list for your Charge Basis**
- **Key Investor Information Documents (KIIDs) or Key Information Documents (KIDs)** in respect of your asset choice. **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.

1. Financial adviser's details and declaration

1.1 Network ► *If applicable*

Company name

Assigned adviser/Account to receive remuneration

1.2 Are you appropriately authorised to conduct this business?

Yes - go to 1.3

No - you cannot submit this application

1.3 Did you give financial advice to the client in respect of this application?

Yes

No

Declaration

1.4 Adviser Fees – I understand that adviser fees will be paid subject to the limits outlined in Quilter's Remuneration Guide.

1.5 Tax information – based on the knowledge I have gained of the relevant parties, I have no reason to believe that the tax residency self-certification requires any follow-up action from me.

Financial adviser's signature

Date

Print full name

Position

Email address

Telephone



Tax Declaration and CoVI

- If this investment is for a new account, you must include the Tax Declaration and CoVI, available at the end of the application, in respect of the applicant and associated parties.
- If the completed form is not returned with the application, the investment could be delayed.

Managed Portfolio Service (MPS) or Discretionary Investment Manager (DIM) portfolios

- If the asset selection in section 6 includes any MPS or DIM portfolios, you must also sign the declaration in section 11.

Additional needs

- If any of the parties associated with the investment (eg trustees) have any additional needs arising from aspects of their life such as their capabilities, health issues, life events, or their resilience, please capture the details on our **Additional Needs form**, available from our website. For more information about additional needs click [here](#) or go to 'help and support' on our website, [quilter.com](#)

4. Lives assured details (relevant to new CIB applications only)

1. Title	Mr	Mrs	Miss	Ms	Other ► (Please specify)	
First name(s)						
Surname						
Date of birth*						Relationship to applicant
Gender**	Male		Female			
2. Title	Mr	Mrs	Miss	Ms	Other ► (Please specify)	
First name(s)						
Surname						
Date of birth*						Relationship to applicant
Gender**	Male		Female			
3. Title	Mr	Mrs	Miss	Ms	Other ► (Please specify)	
First name(s)						
Surname						
Date of birth*						Relationship to applicant
Gender**	Male		Female			
4. Title	Mr	Mrs	Miss	Ms	Other ► (Please specify)	
First name(s)						
Surname						
Date of birth*						Relationship to applicant
Gender**	Male		Female			

* Maximum age 90 attained

** Only required where Capital Protected Death Benefit has been selected

5. Contribution details



Single payments

- **Minimum investment** - £10,000 for a new account, no minimum for top-ups to an existing account.
- **Cheque** - must be payable to a Quilter Life and Pensions Ltd Collections Account **and it must be dated BEFORE the date of the trust deed.**
- **If you are sending payment for more than one application, please send a separate payment for each one.**

Phased investment

- You can place your investments into the BlackRock Cash Fund within your CIB, 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 in **Part C**, then list your choice of assets in section 6.
- If you do not specify a start date, we will begin phasing the month following your investment.

Initial fees

- **Initial fees are deducted prior to investment.**
- The 5% tax-deferred allowance on the bond should therefore be calculated using the net investment amount.

Please complete either Part A or B as applicable, then Part C if required.

Part A

Complete Part A if you would like Quilter to facilitate an initial fee, which the **settlor(s) of the Loan Trust has agreed** with their financial adviser for advice given to the settlor prior to the loan being made to the trustees. The settlor(s) must also sign below.

Amount loaned to trust
by the settlor(s)

£

This is the amount which will be invested into the bond.

+ Adviser's initial fee

£

= Total cheque payment

£

Cheque number

This declaration is made by each settlor who signs below:

- I instruct Quilter to deduct the initial fee detailed above from the total payment made to Quilter.
- I confirm that I have authority to approve these instructions.
- I understand that Quilter cannot refund a fee once it has been paid. Instead I would need to contact my financial adviser to discuss whether a refund is payable and any such refund would be paid direct to me by my financial adviser.

First settlor

Full name

Full address

Postcode

Signature

Date

Second settlor (if applicable)

Postcode

Part B

Complete Part B if :

- you would like Quilter to facilitate an initial fee, which the trustees have agreed with their financial adviser for advice given to the trustees after the loan has been made to them or
- where no initial fee applies.

Investment amount

£

+ Adviser's initial fee

£

= Total cheque payment*

£

Cheque number

**This is also the amount of the loan made by the settlor(s) to the trust.*

Part C

Complete Part C if you want to phase the investment.

Phased investment start date:

Number of months

3

6

12

6. Your asset selection

Managed Portfolio Service (MPS) and Discretionary Investment Management (DIM) Portfolios

- For CIBs on Charge Basis 3, if you wish to invest using our WealthSelect MPS or into DIM portfolios, enter details of the portfolio(s)* required in the table below.

*Some MPS portfolios are not available for the CIB, more information is in the Adviser Guide to the MPS.

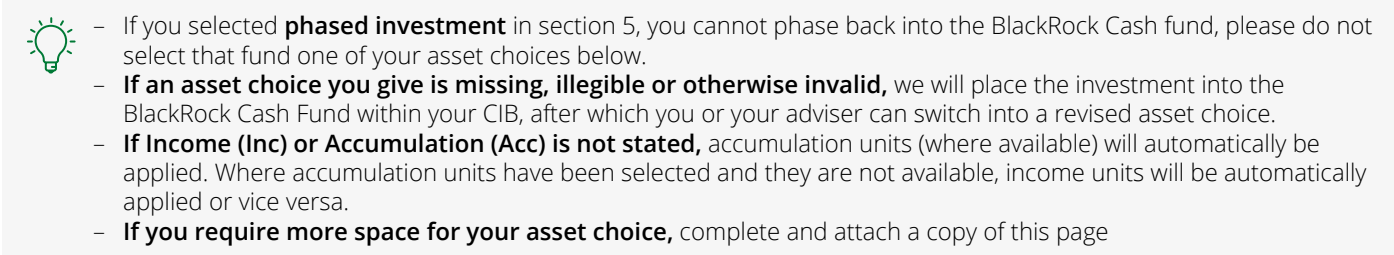
- The MPS/DIM portfolio declaration in section 11 **must also be signed by your financial adviser.**

6.1 We will automatically default to the 'unbundled' versions of any assets you choose in section 6.2.

- '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.

6.2 State your asset choice in the table below



-  – If you selected **phased investment** in section 5, you cannot phase back into the BlackRock Cash fund, please do not select that fund one of your asset choices below.
- **If an asset choice you give is missing, illegible or otherwise invalid**, we will place the investment into the BlackRock Cash Fund within your CLB, after which you or your adviser can switch into a revised asset choice.
- **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 require more space for your asset choice**, complete and attach a copy of this page

Discretionary Investment Manager (DIM) – Portfolio Fee (Charge Basis 3 only)

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
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Portfolio Fee Amount: % of the portfolio value each year

Model portfolio(s) to which the fee relates	
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Model portfolio(s) to which the fee relates	
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Frequency	Monthly	Quarterly	Half-yearly	Yearly
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Frequency	Monthly	Quarterly	Half-yearly	Yearly
-----------	---------	-----------	-------------	--------

Frequency	Monthly	Quarterly	Half-yearly	Yearly
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Frequency	Monthly	Quarterly	Half-yearly	Yearly
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Frequency	Monthly	Quarterly	Half-yearly	Yearly
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9. Charges and fees

- Your CIB is subject to charges.
- Details of our three charge bases are in Part A.
- More information about charges and fees is in the 'Important documents' listed on page 2.

Part A - Our charge bases

We have three charge bases, they are:

Charge Basis 3

- This applies to CIBs opened from 18 December 2012.
- They are subject to our Product Charge and Adviser Charging, where financial advisers (if applicable) are paid by fees.
- If the assets selected include a WealthSelect Managed Portfolio, the CIB will also be subject to a monthly Managed Portfolio Service (MPS) charge.
- **All new CIBs are opened on, and will remain on, Charge Basis 3.**

Charge Basis 2

- This applies to CIBs that have converted from Charge Basis 1, either by request or automatically*.
- They are subject to our Investor Charge and Adviser Charging, where financial advisers (if applicable) are paid by fees.
- **CIBs on Charge Basis 2 will remain on this Charge Basis.**

Charge Basis 1

- This applies to CIBs opened before 18 December 2012, which have not been converted to Charge Basis 2.
- They are subject to our Investor Charge and financial advisers (if applicable) are paid by commission.
- **Topping up your CIB will convert it to Charge Basis 2.****

* The Terms & Conditions outline which transactions automatically convert bonds to Charge Basis 2.

** Once you convert to Charge Basis 2, you cannot revert to Charge Basis 1.

If you are not sure which Charge Basis applies to your CIB, check on your regular statement or call us on 0808 171 2626.

Part B - Adviser ongoing servicing fees ► If required

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



- The servicing fee is an annual amount including VAT, which will be divided by the payment frequency selected and paid accordingly. ► For example, £100 half-yearly would be £50 every six months.
- Percentage fees can be entered up to two decimal places.
- 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.
- Any servicing fee authorised will override any existing servicing fee instruction on this account.
- If you leave the frequency blank, we will assume 'monthly'.
- If you wish to cancel an existing fee instruction using this form, enter £0 or 0%. It will be cancelled for the whole account, not just the investment in this application.
- **Any servicing fees paid from your CIB will count towards your 5% annual withdrawal allowance and may therefore have tax implications.**

A - Fixed monetary amount

Fee amount		£		each year	
Frequency		Monthly	Quarterly	Half-yearly	Yearly

B - Fixed percentage

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

C - Tiered percentage (Charge Basis 3 only)

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

Monthly

Quarterly

Half-yearly

Yearly

* 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.

10. Declaration and signatures

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 8 clauses, arranged into 4 sections:
 - 1 – My application and information
 - 2 – Keeping me informed
 - 3 – Fees
 - 4 – 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 apply to invest in 1,000 unit-linked, whole of life assurance policies referred to collectively as the Collective Investment Bond. Alternatively, I apply to invest an additional amount into my existing Collective Investment Bond with that additional amount invested equally in each policy.
- b) I declare that:
 - i) I am 18 years of age or over
 - ii) the entity is registered in the United Kingdom (this does not apply to top-ups) and will inform Quilter Life & Pensions Limited (Quilter) if this changes in the future
 - iii) I am not a citizen of Russia or Belarus.
- c) I understand that Quilter will administer the Collective Investment Bond in accordance with UK tax legislation.
- d) I understand that incorrect information regarding lives assured may result in a reduced death benefit being paid.
- e) I confirm that if withdrawals are to be paid to a beneficiary, the beneficiary is 18 or over.
- f) 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 interest distributions, dividends, rebates and any other rights or proceeds in respect of the investments in the Collective Investment Bond
- b) to sell units or shares in investments within the bond 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 concerning use of my personal information
- b) I have obtained the consent of any other party named in this application (including each life assured) 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 confirmation 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:

- 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 a cash fund 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) Key Information Document about the Collective Investment Bond
- d) an illustration and information about the costs and charges associated with my investment
- e) information including rebates, in respect of my chosen funds
- f) 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 my 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 and the tax implications of Quilter deducting these fees.
- c) I understand that:
 - i) the fees agreed will be met as follows (as applicable):
 - Initial fee – by deduction from my payment and before the balance is invested into my choice of assets
 - Ongoing servicing fees, DIM portfolio fees and ad hoc fees - by selling units proportionally from all assets in my bond
 - ii) 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 bond and will override any existing servicing fee on the bond
 - VAT may also be payable on DIM portfolio fees.

- iii) Fees will be paid in line with my bond Terms and Conditions and subject to the limits outlined in Quilter's Remuneration Guide for financial advisers
 - iv) Quilter will confirm details to me of the fees applied to my bond
 - v) I will need to reauthorise any increases to fees that have been previously agreed
 - vi) Ongoing servicing fees, DIM portfolio fees and ad hoc fees are taken as withdrawals from my bond and will utilise some of the 5% tax deferred allowance.
- 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.
- e) Where I am investing an additional amount into my existing Collective Investment Bond and I am converting to Charge Basis 2:
- i) I instruct Quilter to stop any commission payments currently being paid to my adviser (if applicable) in respect of this investment under Charge Basis 1 with immediate effect
 - ii) I understand that existing commission arrangements will not convert to fees when my account changes to the new Charge Basis, and that fees will therefore need to be agreed separately
 - iii) I confirm that Quilter has brought to my attention the importance of discussing adviser fees with my financial adviser before authorising them.

My Declaration

8. 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

Signature:		Date	
Print full name		Capacity	
Signature:		Date	
Print full name		Capacity	
Signature:		Date	
Print full name		Capacity	
Signature:		Date	
Print full name		Capacity	
Signature:		Date	
Print full name		Capacity	



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



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

If the assets selected in section 6 include MPS or DIM portfolios, this section must be completed by your financial adviser.

Part A - Where the assets in section 6 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 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.
 - 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 them as detailed in the Terms and Conditions, and you are offering this service to them as part of your agreement with them on the condition that I am appointed as their financial adviser to offer advice in respect of the ongoing suitability of the Managed Portfolio for their needs.
4. **Where a portfolio that has an explicit Managed Portfolio Service Charge is chosen**
 - a) My client understands and agrees 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.
5. **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.
6. **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 and understand them 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/literature/

Part B - Where the assets in section 6 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

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Print name

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.

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 **September 2026** version is the latest by checking on our website 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
- Customers, visit: quilter.com/Customer-Prompt



OR

Send your scanned form securely by email to:

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

Entity's account details

Account number ▶ If known

Customer reference

Account

OR

Bond number (CIB only) ▶ If known

Entity type**

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

Entity type	Classification	Tick one	Next step
Trust	Non-Professionally Managed	☐	Proceed to Parts 2, 3 and 4
	Professionally Managed	☐	Provide the GIIN and proceed to Part 4
Company/ Partnership	Non-Trading Company	☐	Proceed to Parts 2, 3 and 4
	Trading Company	☐	Proceed to Part 4
Registered Charity	Investment Entity	☐	Provide the charity's GIIN and proceed to Part 4
	Not-for-profit charity	☐	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
First name(s)					
Surname					
Date of birth					Country of birth
Residential address					
	Postcode				

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
First name(s)					
Surname					
Date of birth					Country of birth
Residential address					
	Postcode				

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
First name(s)					
Surname					
Date of birth					Country of birth
Residential address					
	Postcode				

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 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:		Date	
Print full name		Capacity in which signing*	
Signature:		Date	
Print full name		Capacity in which signing*	
Signature:		Date	
Print full name		Capacity in which signing*	
Signature:		Date	
Print full name		Capacity in which signing*	

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



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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).

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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 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	A trust where at least one trustee is a corporate entity which provides professional trustee management services, or the trust's assets are managed by a discretionary asset manager. Where the trust only invests via an investment bond (CIB), the trust will not meet the 'managed by' test by using discretionary managed model portfolios. Where the trust invests via a Collective Investment Account (CIA), the trust will meet the 'managed by' test.
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.

continued

Entity type	Description
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.
Registered Pension Scheme	A registered pension scheme, where the Quilter CIA will be held as an asset of the scheme.
Insurance Company	Providers of onshore or offshore investment bonds, where the Quilter CIA will be held as an asset of the bond.
Other	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. - Use the space provided to state the nature of the entity and how it is classified under FATCA/CRS. - Provide a GIIN if applicable. - If the entity is a Passive Non-Financial Entity, you must also complete Parts 2 and 3. - Part 4 must be completed in all cases. We may request additional information before proceeding with your instruction.

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
UK	Unique Tax Reference (UTR) issued when registering a taxable trust and used for trustee tax returns. If registering a non-taxable trust you will be issued with a Unique Reference Number (URN) - Enter this instead.	Unique Tax Reference (UTR) issued when incorporated and used for filing company accounts.
Jersey	Revenue Jersey issues all registered entities with a 10-digit tax identification number.	
Guernsey	Guernsey does not usually issue TINs to trust entities.	Company registration number issued by the Guernsey Registry usually between 1 and 6 digits.
Isle of Man	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	– Settlor (if living at the time of completion) – Trustees – Protector – Any beneficiary or member of a class of beneficiaries. This includes (but is not limited to): • beneficiaries with an absolute entitlement • the life tenant of an interest in possession trust • any beneficiary in receipt of payments from the trust (or will be once the Quilter account is open)
Company	– The directors – Any shareholder with 25%+ share holding – Any shareholders with voting rights



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

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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 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
- ☒ 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



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



OR

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

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

A	C								
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Entity name

(This is also the name of the account holder)

Type of entity

Trust Company/Partnership Club/Association
Charity Pension Scheme Insurance company

Email address

Telephone

Registered address

(UK, Isle of Man, Guernsey or Jersey)

	Postcode

Correspondence address

(if different from above)

	Postcode

Registration/reference for the entity
(if applicable)

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.

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 ► *please specify*

Title

Mr Mrs Miss Ms Other ► *Please specify*

First name(s)

Surname

Date of birth

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

Email address

	Telephone	
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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	
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Permanent UK residential address

	Postcode



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



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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	– All trustees – Settlor (if living at the time of completion) – Beneficiaries: • any who are 18+ and have an absolute interest in the trust fund • any who are in receipt of payments from the Collective Investment Bond / Collective Investment Account	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	– All directors/partners – Shareholders with 25%+ shareholding (if not already covered as a director)	– The entity must be registered in the UK, Channel Islands or Isle of Man. – 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.
Registered Charity	Any person or other entity acting as signatory on the account with Quilter who is not: – Listed as a trust/officer on a public register of the charities. – An employee of the charity.	
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	– Any person or other entity acting as signatory on the account with Quilter.	
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.