

Completing the form on screen?

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

Quilter

Transfer of ownership

From: a Collective Investment Account (CIA)

To: a CIA for a trust, corporate or pension scheme applicant

For completion with a financial adviser

With this form you can:

- transfer some or all investments (without actually selling them) from a Collective Investment Account (CIA) to a new or existing CIA in the name of a trust, company or pension scheme.

This form cannot be used for:

- transferring investments into a CIA for individuals, or
- transferring investments from an account in the name of a deceased investor for which there are separate forms available from your financial adviser.

We regularly update our forms; your financial adviser can confirm that this **September 2025** version is the latest by checking our website quilter.com

Completing this form

- Complete the form using BLOCK CAPITALS and blue or black ink. For dates, please use the format day/month/year.
- Missing or unclear information can result in delays. We are unable to correct errors or omissions retrospectively.
- If the transfer is to/from more than one account, a separate form will be required for each one.
- **Part A** must be signed by all investors/trustees or signatories on the account being transferred.
- **Part B** must be completed and signed by the trustees or signatories for the applicant to whom the ownership is being transferred, **as well as their financial adviser.**

Send your completed form as follows:

- **Email:** send your scanned copy via PROMPT, our tool for uploading documents direct to us.
For customers, visit: quilter.com/Customer-Prompt
For advisers, visit: quilter.com/Adviser-Prompt
Or email your scanned copy to servicing2@quilter.com
- **Post:** send the completed form to Quilter, SUNDERLAND, SR43 4JP.

Part A - Transfer Instruction

A1. Existing CIA details

Please give details of the account **from which the transfer is being made.**

	Customer Reference	Account
CIA account number:	A C	–
Investor's full name		
Permanent residential/registered address of investor		
		Postcode
Telephone number		Email
Joint investor's full name		
► If applicable		



A2. Transfer details

Complete either i) or ii) to show the assets and percentages to be transferred.



- We cannot transfer a specific amount of money.
- If the assets include any **Exchange Traded Instruments (ETIs)**, they can only be transferred in whole units. We will therefore transfer the asset by rounding down to the nearest whole unit.
- If any assets being transferred are **part of a model portfolio or MPS**:
 - they will be 'unlinked' from the model and held as individual funds in the new account
 - the receiving client's adviser can reinstate the model portfolio after the transfer is complete, if required.
- **If any assets are not available to be transferred**, we will sell them and transfer the cash proceeds instead, unless you request otherwise. ► *Selling assets could create a Capital Gains Tax Liability.*

i) Transfer this percentage from ALL assets on the existing account (including cash)

► *Please use whole percentages; if you select 100%, all assets will be transferred and the account number will be closed.*

%

OR

ii) Transfer the following assets from the existing account ► *Please use whole percentages*

Asset name	% to transfer
	%
	%
	%
	%
	%

A3. Declaration

This declaration is made by each party authorising the account to be transferred.

- I request Quilter Investment Platform Limited ('Quilter') to carry out the transfer of assets as indicated in this form, from the account stated in section A1, to the Collective Investment Account detailed in Part B.
- I understand that:
 - the transfer of ownership could have tax implications and that I should consult my financial adviser for advice.
 - if the entire account is being transferred:
 - the existing account will be closed and any instructions on the account will therefore stop;
 - prior to the transfer taking place, any accrued fees and charges will be deducted from the value of the account and any interest accrued will be added.
 - the effective date of the transfer will be the date Quilter carries out the transfer of assets between the accounts, unless otherwise stated in Part B1.4.
- In signing below I accept the conditions given and referred to in this form.

All investors/trustees/signatories for the account 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.*

Signature		Date	
Print full name		Capacity*	
Signature		Date	
Print full name		Capacity*	
Signature		Date	
Print full name		Capacity*	
Signature		Date	
Print full name		Capacity*	

*eg investor, trustee, signatory, attorney

Transfer of ownership

From: a Collective Investment Account (CIA)

To: a CIA for a trust, corporate or pension scheme applicant

For completion with a financial adviser

Part B - CIA Application

With this form you can:

- invest in a new CIA
 - top up an existing CIA
- with investments transferred from the account detailed in Part A.

This form cannot be used for:

- transferring investments into a CIA for an individual(s), or
- transferring investments from an account in the name of a deceased investor for which there are separate forms available from your financial adviser.

Completing this form

- Complete the form using BLOCK CAPITALS and blue or black ink. For dates, please use the format day/month/year.
- Missing or unclear information can result in delays. We are unable to correct errors or omissions retrospectively.
- Part B must be signed in **section B7 by the trustees or signatories for the new investor and in section B1 by their financial adviser.**
- This application does not cater for the following, which can be arranged after the account is opened, if required:
 - Direct Debit payments
 - Regular withdrawals
 - Phased investment
 - Investment using our Managed Portfolio Service (MPS).

Additional documents or information 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 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.

Important documents you need to read before completing your application

Your financial adviser will have provided you with the following:

- **CIA Key Features Document**
- **CIA Terms and Conditions**
- **An illustration**, which includes a Costs and Charges Statement.
- **Information about the assets being transferred to you, including:**
 - **Key Investor Information Documents (KIIDs) or Key Information Documents (KIDs)**
 - **Details of any rebates applicable**
- **Privacy notice** concerning use of your personal information.

In section B7, the declaration you sign will include your confirmation that you have read these documents.

B1. Financial adviser's details and declaration ► To be completed by your financial adviser

B1.1 Network ► *If applicable*

Company name

Assigned adviser/Account to receive remuneration

B1.2 Are you appropriately authorised to conduct this business?

Yes - go to B1.3

No - you cannot submit this application

B1.3 Did you give financial advice to the client in respect of this application?

Yes

No

B1.4 Capital Gains Tax (CGT)

If you use our CGT reporting tool, please complete these details so that we can correctly record how this transfer should be reported within the tool.

a) Is the beneficial owner changing as part of this transfer?

Yes - go to b)

No* - go to c) **This means:*

- **Transferor's account** – the tool will not treat the transfer as a disposal and will show a 'no gain/no loss' transaction.
- **New account** – the tool will calculate gains and/or losses from the values acquired by the transferor.

b) Is this transfer of ownership an exempt transfer for CGT purposes?

Yes*

**This means:*

- **Transferor's account** – the tool will treat the transfer as exempt (eg spouse/civil partner transfer) and show a 'no gain/no loss' transaction.
- **New account** – the tool will calculate gains and/or losses from the values acquired by the transferor.

No*

**This means:*

- **Transferor's account** – the tool will treat the transfer as a disposal and show a gain or loss using prices as at the effective date.
- **New account** – the tool will calculate gains and/or losses from the market value as at the effective date.

c) The effective date of the transfer

- We will treat the date Quilter Investment Platform Limited carries out the transfer of assets between the accounts as the effective date of the transfer.

UNLESS

- The transfer should be treated as occurring on a specific date in the past in which case please enter the effective date below.

► *This cannot be in the future*

Declaration

B1.5 Adviser Fees – I understand that adviser fees will be paid subject to the limits outlined in Quilter's Remuneration Guide.

B1.6 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



Additional needs

- If any of the parties associated with the investment (eg trustees, officers) 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.

B3. Asset choice

Where available*, assets will be transferred from the account detailed in Part A of this form.

* If any assets are not available to be transferred, unless requested otherwise, we will sell them and transfer the sale proceeds instead. The proceeds will be held as cash within your CIA but you or your adviser will be able to switch the cash into different assets once the transfer is complete, if required.

If any assets being transferred are part of a model portfolio or MPS:

- they will be 'unlinked' from the model and held as individual funds in the new account
- your adviser can reinstate the model portfolio after the transfer is complete, if required.

B4. Distribution options

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

► If left blank, B4.1 will apply.



Interest earned on any cash held within your CIA

- If you select B4.1 or B4.2, any interest earned on cash in your CIA, will be added to the cash balance.
- However, if you select B4.3, the interest will be paid out with your income.

Exchange Traded Instruments (ETIs)

- If you select B4.1, 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).

B4.1 Reinvest into the CIA

B4.2 Leave as cash in the CIA

B4.3 Pay the income into the bank account detailed in section B5, as follows:

- a) Immediately** – Income will be paid into the bank account as and when received from the asset managers.
- b) Regularly** – Select the required frequency:
- Monthly Quarterly Half-yearly Yearly

B5. 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 entity; we CANNOT make withdrawal payments to third parties.
- We may need 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.

Type of bank account

Trust

Other

B6. 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 3.

Part B - Adviser fees ► If required

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

Initial fee ► An initial fee is not available for this type of application.

Ongoing servicing fee (overleaf)

Ongoing servicing fee



- 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.

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

Tiered fee structure name			
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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

B7. Declaration and signature(s)

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.
 - 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 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.

Continued



My Declaration

9. a) I declare that 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.

Signature

Date

Print full name

Capacity

Signature

Date

Print full name

Capacity

Signature

Date

Print full name

Capacity

Signature

Date

Print full name

Capacity



- **Risk:** All types of investment involve some risk. Your account value may fall or rise and you may not get back what you put in.
- **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 form is not returned with the application, the investment could be delayed.



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.



Using the editable fields?

To ensure the information is saved correctly, we recommend you save the form to your desktop before you start completing the required fields.

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 **June 2025** version is the latest by checking on our website quilter.com



Completing this form:



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.

- We've provided notes and definitions at the back of this form to aid with completion.
- You can complete the form electronically by using the editable fields, if preferred; save the form to your desktop before you do so, to ensure that the information is saved correctly. Then print, sign and send it to us.
- Alternatively, you can print and complete it by hand using **BLOCK CAPITALS** and blue or black ink.
- For dates, please use the format DD/MM/YYYY.
- References to Quilter in this form mean Quilter Life & Pensions Limited or Quilter Investment Platform Limited.



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

						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 influence or control over the entity.
- 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.

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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 1 – 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
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 2 – 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 3 - 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 influence or control over the entity or has a majority ownership interest in an entity.
- To help you, we've identified the persons who 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 that: • has an absolute interest in the trust fund (bare trust) • is the life tenant (interest in possession trust) • is in receipt of capital or income from the trust (or will be when the account is set up) • has influence or control over the entity
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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Using the editable fields?

To ensure the information is saved correctly, we recommend you save the form to your desktop before you start completing the required fields.

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 **September 2024** 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)

PROMPT

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

quilter.com/Adviser-Prompt



OR

Email

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	<table><tr><td>A</td><td>C</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>	A	C							
A	C									
Entity name	<i>(This is also the name of the account holder)</i>									
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>	Postcode									
Correspondence address <i>(if different from above)</i>	Postcode									
Registration/reference for the entity <i>(if applicable)</i>	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 ► <i>please specify</i>											
Title	Mr	Mrs	Miss	Ms	Other ► <i>Please specify</i>								
First name(s)													
Surname													
Date of birth	<table><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>												
Email address			Telephone										
Permanent UK residential address	Postcode												
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)													
Surname													
Date of birth	<table><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>												
Email address			Telephone										
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.
https://www.quilter.com/siteassets/documents/platform/guides-and-brochures/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, or
- 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 – 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.