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

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.

Note – 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 **September 2023** version is the latest by checking our website [quilter.com](https://www.quilter.com)

Completing this form

- Complete this form, as applicable, 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.
- 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.

In section 10 of this application, the declaration you sign 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 will be unable to 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

Note 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)	<input type="text"/>	
First name(s)	<input type="text"/>						
Surname	<input type="text"/>						
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Relationship to applicant	<input type="text"/>
Gender*	Male	Female					
2. Title	Mr	Mrs	Miss	Ms	Other ▶ (Please specify)	<input type="text"/>	
First name(s)	<input type="text"/>						
Surname	<input type="text"/>						
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Relationship to applicant	<input type="text"/>
Gender*	Male	Female					
3. Title	Mr	Mrs	Miss	Ms	Other ▶ (Please specify)	<input type="text"/>	
First name(s)	<input type="text"/>						
Surname	<input type="text"/>						
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Relationship to applicant	<input type="text"/>
Gender*	Male	Female					
4. Title	Mr	Mrs	Miss	Ms	Other ▶ (Please specify)	<input type="text"/>	
First name(s)	<input type="text"/>						
Surname	<input type="text"/>						
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Relationship to applicant	<input type="text"/>
Gender*	Male	Female					

* Only required where Capital Protected Death Benefit has been selected



5. Contribution details

Note - 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)	£ <input type="text"/>	<i>This is the amount which will be invested into the bond.</i>
+ Adviser's initial fee	£ <input type="text"/>	
= Total cheque payment	£ <input type="text"/>	Cheque number <input type="text"/>

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	Second settlor (if applicable)
Full name	<input type="text"/>	<input type="text"/>
Full address	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
Postcode	<input type="text"/>	<input type="text"/>
Signature	<input type="text"/>	<input type="text"/>
Date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

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	£ <input type="text"/>	
+ Adviser's initial fee	£ <input type="text"/>	
= Total cheque payment*	£ <input type="text"/>	Cheque number <input type="text"/>

*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:	<input type="text"/> 0 <input type="text"/> 1 <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Number of months	<input type="text"/> 3 <input type="text"/> 6 <input type="text"/> 12
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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

Note – 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 CIB, 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

Asset/Portfolio	Inc/Acc	%
	Total	100%

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

Model portfolio(s) to which the fee relates

Frequency Monthly Quarterly Half-yearly Yearly



9. Charges and fees

More information about charges and fees is in the Charges, Fees and Rebates Guide in the CIB Terms & Conditions.

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 periodic statement or call us on 0808 171 2626.

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 ► If initial fees are required, please complete the details in section 5.

Ongoing servicing fee

- Note**
- 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

10. Declaration and signatures

Important Information: you must read the following declarations carefully. You should ask your financial adviser if there is anything you do not understand.

This declaration is made by each trustee who signs the application.

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
- 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. 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).

4. 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.

5. Personal information – I confirm that:

- a) I have read Quilter's privacy notice available at [quilter.com/privacy](https://www.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.

6. 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 (where Part B of Section 5 has been selected) – by deduction from my payment 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.
- 7. 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 Trust and Corporate Investors 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.
- 8. I declare that my application has been completed correctly and to the best of my knowledge and belief.**
- 9. Share class conversions** – If an asset manager launches a new version of an asset that I hold, which offers me better value, I understand that my account will benefit from automatic conversion to the newer version of the asset and I agree to such conversions.

Signatures ► *All trustees/signatories must sign*

Signature:	<input style="width: 95%;" type="text"/>	Date	<input style="width: 95%;" type="text"/>
Print full name	<input style="width: 95%;" type="text"/>	Capacity	<input style="width: 95%;" type="text"/>
Signature:	<input style="width: 95%;" type="text"/>	Date	<input style="width: 95%;" type="text"/>
Print full name	<input style="width: 95%;" type="text"/>	Capacity	<input style="width: 95%;" type="text"/>
Signature:	<input style="width: 95%;" type="text"/>	Date	<input style="width: 95%;" type="text"/>
Print full name	<input style="width: 95%;" type="text"/>	Capacity	<input style="width: 95%;" type="text"/>
Signature:	<input style="width: 95%;" type="text"/>	Date	<input style="width: 95%;" type="text"/>
Print full name	<input style="width: 95%;" type="text"/>	Capacity	<input style="width: 95%;" type="text"/>

Note – 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

- I have read and agreed to the following WealthSelect Managed Portfolio Service declaration.**
- 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.
- I confirm for each client:**
 - 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.
 - 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.
 - 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.
 - 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.
 - 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.
- Where a portfolio that has an explicit Managed Portfolio Service Charge is chosen**
 - 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:
 - 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.
 - The Managed Portfolio Service Charge is accrued daily and will be deducted from the account on the Account Charge Date.
- 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.
- 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

- I have read and agreed to the following discretionary managed model portfolio declaration.**
- 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.
- 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).
- I understand that** Quilter may ask for sight of the signed Adviser Fee Authorisation form in the future.
- I confirm that** for each client:
 - I have given advice in relation to the suitability of using the discretionary managed model portfolio(s) selected which meets my client's needs.
 - 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.
 - 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.
 - 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.
 - My client has been made aware of the roles and responsibilities of the discretionary manager in line with regulatory guidance.

Financial adviser's signature

Date

Print name

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



Tax Declaration and CoVI

– For the Collective Investment Account (CIA) or Collective Investment Bond (CIB), trust and corporate investors

With this form you can:

- provide information about the entity's tax status, and that of the associated parties (where applicable)
- confirm a trust entity has registered with HMRC's trust registration service or is exempt from registration
- provide your financial adviser's Confirmation of Verification of Identity (CoVI), for the parties included within this declaration if confirmation has not already been provided.

It is needed for the following:

- new investments into the CIA or CIB in the name of an entity, eg a trust or corporate investor
- new investments into the CIB opened in the name of an individual(s) but which is subsequently being placed into trust
- a change of ownership relating to an entity investment in a CIA or CIB (eg by assignment or transfer)
- payment from a CIA or CIB if there has been a change of circumstances since the form was previously completed (eg a change in account holder, entity or trustees).

Please refer to the Q&A on our adviser literature library (visit the Support Hub, Questions and Answers and search for Tax Declaration).

We regularly update our forms; your financial adviser can confirm that this August 2023 version is the latest by checking the literature library on our website [quilter.com](https://www.quilter.com)

- Note**
- **Tax status information** - this is required to enable us to comply with regulations governing automatic exchange of information, including the US Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standards (CRS).
 - **Collection and Disclosure of Information**
We are required to collect information which includes tax residency, Tax Identification Numbers (TIN) and Global Intermediary Identification Numbers (GIIN) where applicable. We may need to share this information, along with information relating to your investments, with HMRC. This may then be shared between different countries'/ jurisdictions' tax authorities.
 - **Confirmation of Verification of Identity (CoVI)** - this is required for us to meet our obligations under UK money laundering regulations. We will implement enhanced monitoring of higher-risk business.
 - ▶ If there is no requirement for you to complete this tax declaration form, advisers can use the stand-alone CoVI form to provide confirmation of identity where it cannot be provided online.

Completing this form:

- Complete this form using BLOCK CAPITALS and blue or black ink. For dates, please use the format day/month/year.

Send your completed form as follows:

- By PROMPT: our tool for uploading documents direct to us
 - For advisers, visit [quilter.com/help-and-support/tools/new-prompt/](https://www.quilter.com/help-and-support/tools/new-prompt/)
 - For customers, visit [quilter.com/help-and-support/tools/promptcustomer/](https://www.quilter.com/help-and-support/tools/promptcustomer/)
- By email: to ask@quilter.com
- By post: to Quilter, SUNDERLAND, SR43 4JP.

Account holder's name ▶The entity

Account number ▶If known

Customer reference				Account		
A	C					

Bond number (CIB only) ▶If known

3					
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Part 1 – Type of entity

Please tick to indicate below which of the following entity categories applies to you.

Tick one

1.1 Financial Institution

A Financial Institution is an entity which carries out activity related to deposit taking, investment activity, insurance or custody services. This includes:

- Banks
- Insurance Companies
- Custodial Institutions
- Investment Entities

An Investment Entity is one that primarily conducts as a business one or more of the following activities on behalf of a customer:

- trading in money market instruments, foreign exchange, exchange, interest rate and index instruments, transferable securities or commodity future trading
- individual and collective portfolio management; or
- otherwise investing, administering or managing financial assets or money on behalf of other persons

In some circumstances it may be possible that a trust holding an insurance policy will be treated as an Investment Entity, particularly where a professional trustee service provider (such as a solicitor or company) is acting as trustee.

1.2 Non-trading entity (Passive Non-Financial Foreign Entity)

This is an entity which is not actively trading, for example where the entity only exists to hold investments or income on behalf of another, such as:

- a private company;
- a partnership; and
- other legal arrangements such as a non-professionally managed trust (ie a trust where none of the trustees is a solicitor or a company which provides trustee services).

1.3 Actively Trading Entity (Active Non-Financial Foreign Entity)

This is an entity which actively engages in trading activity, trades or professions which generates the majority of the income of the entity. If the majority of the income of the entity is generated from passive investments then you should tick 1.2. If you are an entity which is established for religious, charitable, scientific, artistic, cultural, athletic or educational purposes please select 1.4.

1.4 Exempt Beneficial Owner

If you do not fall into any of the above three categories please describe in the space below the nature of the activity carried out by the entity and as you are claiming exemption from FATCA, please detail the reason. Examples of such entities could be charitable trusts, organisations, sports, clubs, associations and government agencies.

Part 2 – Tax residence

Tax residency rules for entities vary from country to country and can be complicated. For instance, a company may be tax resident in the country where it is incorporated but may also be tax resident in countries in which it operates. The rules relating to the tax residency for trusts can be equally complex.

If you are in doubt as to the country of tax residence, you should seek professional advice.

Please list below each country in which the entity (ie the trust or company) is resident for tax purposes and the tax identification number of the entity, **if the entity has one.**

Country/countries of tax residence	Tax Identification Number (TIN)	Type of TIN*

* Tax Identification Number (TIN) - A reference used by the entity in reporting tax affairs in any country in which the entity is resident. Please refer to the Q&A on our adviser literature library (visit the Support Hub, Questions and Answers and search for Tax Declaration).

Please complete the relevant details below in relation to the persons who have ownership or control of the entity.
 If there are more than four controlling persons, please provide the same information for each one by using a copy of this page.

Settlor	Trustee	Protector	Shareholder	Beneficiary (or included in a class of beneficiaries)
Title and full name		<input style="width:100%;" type="text"/>		
Date of birth		<input style="width:100%; height: 20px;" type="text"/>		
Residential address		<input style="width:100%;" type="text"/>		
		Postcode		
		<input style="width:100%;" type="text"/>		
Nationality(ies)	Country(ies) of residence* for taxation	Tax Identification Number(s) (TIN)*	Type of TIN*	
<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	
<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	

Settlor	Trustee	Protector	Shareholder	Beneficiary (or included in a class of beneficiaries)
Title and full name		<input style="width:100%;" type="text"/>		
Date of birth		<input style="width:100%; height: 20px;" type="text"/>		
Residential address		<input style="width:100%;" type="text"/>		
		Postcode		
		<input style="width:100%;" type="text"/>		
Nationality(ies)	Country(ies) of residence* for taxation	Tax Identification Number(s) (TIN)*	Type of TIN*	
<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	
<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	

Settlor	Trustee	Protector	Shareholder	Beneficiary (or included in a class of beneficiaries)
Title and full name		<input style="width:100%;" type="text"/>		
Date of birth		<input style="width:100%; height: 20px;" type="text"/>		
Residential address		<input style="width:100%;" type="text"/>		
		Postcode		
		<input style="width:100%;" type="text"/>		
Nationality(ies)	Country(ies) of residence* for taxation	Tax Identification Number(s) (TIN)*	Type of TIN*	
<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	
<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	

Settlor	Trustee	Protector	Shareholder	Beneficiary (or included in a class of beneficiaries)
Title and full name		<input style="width:100%;" type="text"/>		
Date of birth		<input style="width:100%; height: 20px;" type="text"/>		
Residential address		<input style="width:100%;" type="text"/>		
		Postcode		
		<input style="width:100%;" type="text"/>		
Nationality(ies)	Country(ies) of residence* for taxation	Tax Identification Number(s) (TIN)*	Type of TIN*	
<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	
<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	<input style="width:100%;" type="text"/>	

* See the notes at the end of the previous page



Part 4 – Trust Registration

This section applies where the entity in Part 1 is a trust. For all other entity types, continue to Part 5.

To meet our anti-money laundering obligations, Quilter is required to obtain proof that a trust has been registered when processing applications from existing trusts or recording new trusts.

Tick one of the following:

A – The trust has been registered

Please confirm the following:

Unique Reference Number (URN) **OR** Unique Tax Reference (UTR):

You must include evidence of registration with this form

Tick here to confirm evidence is attached (see note below)

B – The Settlor has completed a Quilter trust document (includes a CIA designated account)

The trustees have 90 days from the date of the trust to register. They must provide evidence of registration to Quilter within 90 days of this date.

C – This trust is exempt from registration

No further action required. *Continue to Part 5.*

Note – How to get evidence of registration

The 'declared copy' initially produced after registration cannot be accepted as evidence. The official 'Proof of Registration' document is available via the trust's Government Gateway ID. You can use our guide to help you register and download evidence. It can be found here [Guide for Registering your Trust](#). For assistance accessing the proof of registration document, contact HMRC on 0300 123 1072.

Part 5 – Declaration and certification

This declaration can be made by all controlling parties or can be made by one controlling person on behalf of the entity. Alternatively, the financial adviser, as agent, may make this declaration on behalf of the entity.

The declaration is made by each person signing below.

1. I as a director, controller, trustee or person acting on behalf of the entity 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 if any information contained in this Tax Declaration changes, for example where the controlling persons change. I understand that this may require a new Tax Declaration form to be completed.
3. I understand that the information collected in this Tax Declaration may be disclosed to the collecting institution's home state tax authority which may, under a relevant inter-governmental agreement, provide the information to an overseas tax authority.
4. **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.
5. For Trusts only.
 - a) I confirm that the information provided in Part 4 of this form is correct.
 - b) I agree to submit evidence of registration to Quilter either with this form or within 90 days of the trust's declaration date (unless exempt from registration).

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 account holder that all the information provided within it is correct.

Signed on behalf of
(entity name)

Signature:

Date

Print full name

Capacity in
which signing

Signature:

Date

Print full name

Capacity in
which signing

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

Part 6 – Confirmation of verification of identity ▶ *To be completed by the financial adviser*

1. I confirm that:
 - a) I have verified the identity of all parties referred to in this form, other than any listed in (e) below
 - b) the information in this form was obtained by me in respect of those parties
 - c) the evidence I have obtained to verify the identity of the relevant parties can be produced on demand and meets the standard of evidence set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group (JMLSG)
 - d) if any individual referred to in this form has changed address within the last three months, I can provide evidence on demand
 - e) I have not verified the identity of the following parties referred to in this form because they are exempt from verification under Money Laundering Regulations
 - f) this section is signed below by the person who has seen the documentary evidence (which may include an electronic identity check).
2. 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	<input type="text"/>	Date	<input type="text"/>
Print name	<input type="text"/>	Position	<input type="text"/>
Email address	<input type="text"/>	Telephone	<input type="text"/>
Full name of regulated firm	<input type="text"/>	Financial Services number	<input type="text"/>



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