SIPP / Wrap

JAMES HAY PARTNERSHIP

# James Hay Online Registration Form for Client Representatives

JHAY0299

## Application Guide

**For access to James Hay Online please read the enclosed Terms and Conditions. Please ensure that you have signed the declaration below.**

Please complete this form in BLOCK CAPITALS & black ink and return it to: James Hay, Dunn's House, St. Paul's Road, Salisbury SP2 7BF. If you need any help to complete this form please call your Account Executive or our general enquiry number 0845 850 4455.

## 1 Personal Details

Financial Adviser to complete

Mr ◯ Mrs ◯ Ms ◯ Miss ◯

Other ◯ If 'Other' please state

Forename

Surname

Name of organisation

FSA authorisation number

Address

Post Code

Telephone (day)

Telephone (eve)

Email

## 1a Memorable Information

Financial Adviser to complete

Security information must be provided to enable us to verify users. You will need to remember this information as we will ask you about it when you first log in.

Please use a maximum of 20 characters, and avoid the use of punctuation, for all the information below.

Mother's maiden name

**PLEASE NOTE: When entering your memorable date, the year should be between 1900 and the current year. Please ensure you complete all the memorable information.**

Memorable date D D M M Y Y Y Y

Place of birth

Memorable school

Memorable place

## 1b Relationship Manager (SIPP applications only)

Financial Adviser to complete

I have been nominated to act as the Relationship Manager for my organisation.

Yes ◯ No ◯

If '**Yes**' I have read and understand the attached Terms and Conditions which explains the role.

Yes ◯ No ◯

## 1c Declaration

Financial Adviser to complete

**Wrap Application:** I warrant that I am an authorised employee of the above organisation entitled to have access to the James Hay Wrap Website. I have read and accept the James Hay Wrap Web Access Terms & Conditions for Financial Advisers.

**SIPP Application:** I warrant that I am authorised to view data in respect of the members I have access to. I declare that I have read and accepted the James Hay Online Services Terms and Conditions.

Signature

Please sign here once printed and before sending to James Hay

Date D D M M Y Y Y Y

## 2 Current Members

Financial Adviser to complete

Please provide a list of the clients/members you wish to view.
For Wrap applications, also please confirm if you would like your members to be granted access to view their information.

Should you require access to more than 30 clients, you will be able to notify us of this, once you have been granted access to the Website.

| Product Name | Client/Member Name | Client/Member Number | Wrap: Allow Client access to the website?* |
|---|---|---|---|
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* If you grant a client access to view their Wrap on the Website, each client will need to complete a James Hay Online Registration Form for Members before James Hay Wrap Managers Limited can authorise them to access this information.

On behalf of the below company, I warrant that we are Advisers to the above Member(s) and request to have access to the data held by James Hay via James Hay Online.

I warrant that I am an authorised employee of the organisation below and entitled to view data related to the above named Clients/ Members I have requested access to.

Signature

Please sign here once printed and before sending to James Hay

Wrap applications only: Signature of director, sole trader or partner of your organisation

Please sign here once printed and before sending to James Hay

Name

Position

Signed for and on behalf of:

Date D D M M Y Y Y Y

Should you require access to a newly established plan, please send a secure message once you have registered for the service.

Alternatively you can include the request in your covering letter sent with the application form for the new plan.

## 3 Terms and Conditions

These Terms and Conditions give you important information about the James Hay Online service. You should read these Terms and Conditions carefully. If there is anything you do not understand, please contact James Hay at Dunn's House, St Paul's Road, Salisbury, Wiltshire, SP2 7BF.

### 1. Login and Security

By applying to access the James Hay Online Service (the "Service"), you are confirming:

That you are an appointed representative of the Client(s) you have notified us that you wish to view online; and,

That your firm has signed up to James Hay's Financial Adviser Terms of Business.

Access to the James Hay Online Service (the "Service") is controlled by each user having a unique user record or other security identification data or token.

The information relating to a client's SIPP can only be accessed by member name and SIPP Plan Number.

You are responsible for ensuring you protect your login details or other security identification information, or token, and to ensure this you must:

- take reasonable steps to keep it secret
- not share your login details with anyone
- not allow anyone else to use it
- never write it down without disguising it
- not leave a PC unattended whilst logged onto the service
- and destroy or securely store any information printed off from the service.

If you think your login details or other security identification have been lost, stolen or misused, or may be misused in the future, you must notify James Hay as soon as possible by telephoning us using the contact telephone number listed on our website at www.jameshay.co.uk <http://www.jameshay.co.uk> or writing to us at Dunn's House, St Paul's Road, Salisbury, Wiltshire, SP2 7BF.

### 2. Relationship Manager

If you have elected to act as a Relationship Manager for your firm, you will be responsible for:

- Requesting that James Hay grants individuals in your firm online access to the Service.
- Advising James Hay of your firms list of current SIPP clients
- Notifying James Hay in the event that a user in your firm should have his/ her access to the Service revoked.

Once you have been accepted by James Hay to act as a Relationship Manager for your firm, you can request that the role of Relationship Manager is undertaken by an alternative individual within your firm, provided the nominated individual has signed up to the applicable James Hay Online Terms and Conditions and this is acceptable to James Hay.

### 3. Data Protection

For each online session, we may gather information relating to the identity of the user, the time of use, and the way in which the user has navigated through our website and our online services. This information may be used for administrative or security purposes.

The data held on our systems belongs to James Hay.

You are only authorised to view information for the purposes of administering your own clients SIPPs. If data is accessible to you that does not relate to your own clients SIPPs, due to our error or yours, you have no authority to use it and must notify us immediately.

### 4. Information Available

The Service will provide you with details about your clients SIPPs. The date when the information for your clients SIPPs was last updated will be indicated where possible.

James Hay acts as a central collection point for investment information. We rely on third parties to get up-to-date information and are dependant on their efficiency.

James Hay will use reasonable endeavours to keep its records up to date at all times. However, there may be changes which we may not have been notified of by you or a third party. If you access a record, which contains errors or omissions, please tell us immediately.

We will not accept liability for any claims by you or your clients for damages or loss arising from an inaccurate record.

### 5. Instructions

If the Service allows you to provide James Hay with instructions about your clients SIPPs, we may refuse to act on any instructions which are unclear, or if we doubt their authenticity. We may refuse to act in such circumstances if:

(a) we believe or suspect it may place us in breach of any legislation or law;

**or**

(b) we believe or suspect it relates to frauds or any other criminal act.

If we refuse to act we will tell you that we have done so and where permitted the reason why we refused.

The Service may also have limited update facilities allowing you to inform James Hay of changes. If any changes are made to the data by you, James Hay will not accept responsibility for its accuracy.

### 6. Additional Users

James Hay in principle will grant separate online access to you and your clients, subject to each new user agreeing to the applicable James Hay Online Terms and Conditions.

### 7. Revoking Access

James Hay reserves the right to revoke any online user access for its SIPP members, Financial Advisers and/or appointed representatives as it sees fit.

If you become aware that you are no longer an appointed representative for any client that you currently have online access to, please notify James Hay immediately. You agree to indemnify the client or James Hay against any losses or damage suffered (whether directly or indirectly) in the event that you continue to access the records of any client you are no longer an appointed representative for.

### 8. Availability/ Alteration of Service

Availability of our Service depends on our own computer and administration systems availability, telephone and normal internet availability. We will not accept liability if any part of the Service, whether provided by James Hay or a third party provider, or our website is unavailable.

We may amend, extend or withdraw any online service at any time. We will notify you of any changes to the Service either online or by writing to you. When you first log in to the Service after the changes take effect you will be asked to accept these changes before you proceed with using the Service.

James Hay Partnership is able to provide literature in alternative formats. The formats available are: Large Print (as recommended by RNIB), Braille, Audio Tape and PC Disk. If you would like to receive this document in an alternative format please contact us on 0845 850 4455. For the hard of hearing and / or speech impaired, please use the Typetalk service via 18001 0845 850 4455.

James Hay Partnership is the trading name of: James Hay Insurance Company Limited (JHIC) (registered in Jersey number 77318); James Hay Pension Trustees Limited (JHPT) (registered in England number 1435887); James Hay Administration Company Limited (JHAC) (registered in England number 4068398); James Hay Wrap Managers Limited (JHWM) (registered in England number 4773695); James Hay Wrap Nominee Company Limited (JHWNC) (registered in England number 07259308); IPS Partnership Plc (IPS Plc) (registered in England number 1458445); PAL Trustees Limited (PAL) (registered in England number 01666419); IPS Pensions Limited (IPS) (registered in England number 2601833) and Union Pension Trustees Limited (UPT) (registered in England number 02634371). JHIC has its registered office at IFG House, 15 Union Street, St Helier, Jersey, JE1 1FG. JHPT, JHAC, JHWM, JHWNC, IPS Plc and IPS have their registered office at Trinity House, Buckingway Business Park, Anderson Road, Swavesey, Cambs, CB24 4UQ. PAL and UPT have their registered office at Queen Square House, 18-21 Queen Square, Bristol, BS1 4NH. JHIC is regulated by the Jersey Financial Services Commission and JHAC, JHWM, IPS Plc and IPS are authorised and regulated by the Financial Services Authority.