

# PENSION ACCOUNT OPENING FORM (PLATFORM)

For personal clients opening a Seven Investment Management (7IM) account for a third party provided pension

**PLEASE PRINT CLEARLY IN BLOCK CAPITALS  
IN ALL SECTIONS**

**Section 1 – Trustee details**

Name of Trustee:

Name of Account:

Reference number:

Company address:

City:

County:   
(or country if not UK)

Postcode:

Mark for the attention of:

Company Tel:

Company Fax:

Email:

**Section 2 – Trustee bank details**

Payments will be made directly to this account using the BACS system.

**Please note 7IM are not able to open an account without the Trustee's bank details.**

Bank:

Branch:

Sort code:    /    /

Account title:

Account No:

Account Ref:   
(if applicable)

**INDIVIDUAL MEMBER/UNDERLYING PENSION HOLDER  
TO COMPLETE SECTIONS 3-8.**

**Section 3 – Individual member details**

Title: Mr/Mrs/Miss/Ms/Other

First name(s):

Surname:

Address:

City:

County:   
(or country if not UK)

Postcode:

When did you move to this address?

(DD/MM/YYYY)   /   /

**Section 4 – Security**

Please answer **ALL** of the following four questions that 7IM may need to ask if 7IM need to identify you. The answers should only be known to you and any other authorised signatories to the account.

1. Name of first school attended:

2. Place of birth:

3. Name of first employer:

4. A memorable personal date (not your birthday): DD/MM/YYYY

**Section 5 – Reports**

Your periodic reports will be sent to you every six months.

If you would prefer to receive them quarterly, please tick here.

Please note information on the portfolio will also be sent to the pension trustee/administrator.

## Section 6 – Financial Adviser details

This part of the document authorises the appointed agent to deal in investments on behalf of the pension holder.

You hereby name and appoint:

Full name and title of Financial Adviser:

Full name of Financial Adviser firm:

Address:

City:

County:

(or country if not UK)

Postcode:

Daytime Tel:

Email:

to be your appointed agent and execute on your behalf **EITHER**

the following acts in accordance with any agreement(s) between you and your Financial Adviser:

- To sell any investments for your account.
- To purchase any investments for your account and give any necessary instructions in the event of corporate actions on these investments.

**OR**

This agent will be given instructions from you on each occasion that you wish to buy/sell investments in the portfolio. You authorise the agent here named to then act on those instructions by using the 7IM Platform.

You acknowledge and confirm that any instructions given by the above agent are solely on your behalf, for your account and are your responsibility. You understand that 7IM will only send money to the bank account designated by the pension provider. The authority you have granted shall be fully effective until 7IM receives written notice of the revocation of this authority signed by you. All deals executed by 7IM, prior to receipt of written revocation of this authority by 7IM, shall be binding. In the event of your death all deals executed by 7IM, prior to receipt of formal notification of your death, shall be binding.

Client signature:

Dated: (DD/MM/YYYY)   /   /

Agent signature (Financial Adviser)

The agent named above accepts and agrees to its appointment on the terms of this form.

Dated: (DD/MM/YYYY)   /   /

**Please remember to also sign the declaration at the end of this form (page 3).**

## Section 7 – Fees

You agree to your Financial Adviser receiving an introductory payment of: Fixed value £  OR percentage value %.

**Please note that percentage value payments will be applied to all new contributions into the portfolio, including any transfers and regular contributions unless you advise 7IM otherwise.**

You agree to your Financial Adviser receiving an ongoing fee of:

% of the value of investments held in the portfolio in recognition of an ongoing service.

**Please note that 7IM will take any ongoing payments and 7IM fees from the portfolio.**

### Family Fee Group

Existing Portfolio Number

Create a new group with:

Name:

Relationship:

## Section 8 – Individual member Declaration and Signature

You apply to open an account with 7IM for your pension. You acknowledge that your pension is provided and administered by a third party.

Please sign in the space overleaf. If your Financial Adviser has not provided 7IM with a valid Identity Verification Certificate, please enclose originals or certified copies of identification of name and address e.g. passport and driving licence, for each beneficiary of the pension. Alternatively, you may bring the form, with identification, to 7IM's office.

### You declare that:

- You understand that this pension is offered without advice from 7IM, and that you have sufficient experience and understanding to enter into this agreement on this basis or that you have taken advice from a Financial Adviser and wish to proceed;
- This application form has been completed to the best of your knowledge and belief; and
- You agree to the 7IM Terms & Conditions and Rate Card provided to you.

**Please turn over to sign this form**

## Section 8 – Individual member Declaration and Signature (continued)

Please ensure you have read the 7IM Terms & Conditions and Rate Card provided to you carefully before signing this application form. If there is anything you do not understand, please ask for further information.



Your signature is required for the completion of this form

Signature
Name
Date

By opening this account and signing here, the account owner represents and warrants that he/she/it is not a U.S. person for the purpose of U.S. Federal income tax and that he/she/it is not acting for, or on behalf of, a U.S. person. A false statement or misrepresentation of tax status by a U.S. person could lead to penalties under U.S. law. If your tax status changes or you become a U.S. citizen or a resident, you must notify us within 30 days.

## Section 9 – Trustee Declaration and Signature

The Trustee confirms that any information which it has provided on or with this form is, to the best of its knowledge, complete and accurate. The Trustee confirms that it agrees to the 7IM Terms and Conditions and Rate Card provided to it. The Trustee authorises 7IM to accept instructions on this account from the member's nominated Financial Adviser. Please sign in the spaces provided below and post your form with certified copies of identification of the trustees and permanent residential address. Alternatively, you may bring the form, with identification, to 7IM's office.



Trustee – Your signature is required for the completion of this form

Signature
Name
Date

Signature
Name
Date

### For office use only

Account No:

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Linked account:

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Adviser's initials:

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