

# Investment Manager/Stockbroker Appointment Form

(For Partnership SIPP and Other James Hay SIPPs only)



JHAY0856

**Application guide**

Please use this form if you wish to appoint an investment manager/stockbroker other than EQi (formerly Selftrade) to act on behalf of your chosen product. You must complete and sign the declaration in Section 4.

In addition to this form, James Hay also requires the Client Agreement and Terms of Business from the investment manager/stockbroker to open the account. For the Partnership SIPP, as a dual Trustee SIPP, you will also need to sign the

investment manager's/stockbroker's account opening forms as co-trustee.

Please complete this form in BLOCK CAPITALS and black ink and return it to: James Hay, Suite 202 Warner House, 123 Castle Street, Salisbury, SP1 3TB. If you need any help to complete this form please call your Customer Support Team or our general enquiry number 03455 212 414.

**1 Personal details** Applicant to complete

Mr  Mrs  Ms  Miss

Other (please state)

Forename(s)

Surname

Product number

Date of birth

Address

Email

**2 Product type** Applicant to complete

Please indicate which product you wish the investment manager/stockbroker to be appointed to:

Partnership SIPP

Other James Hay SIPPs

Name of the investment manager/stockbroker firm

Address

  
  

Postcode

Contact name

Telephone number

Fax number

Email

Authorisation number

Basis of appointment:

Execution Only  Advisory  Discretionary 

For more information on differences between account types, please see the notes section of this document.

Please read the investment provider's own literature for details of fund sustainability and climate-related credentials. You can find more information on sustainable investment labels at [www.fca.co.uk](http://www.fca.co.uk).

**Next steps**

Once the account is opened, please use the 'Cash Transfer' tool via James Hay Online to transfer a single amount to your investment manager/stockbroker. For help with this, please contact your Customer Support Team, or our general enquiry number 03455 212 414.

In order to set up a regular transfer, please submit a written instruction via fax, post or secure message, confirming the amount, frequency and start date.

If you wish to instruct an in-specie transfer of assets from your current investment manager/stockbroker to your new investment manager/stockbroker, please submit a clear, written instruction via fax, post or secure message.

**Before signing this form please read the declarations below carefully.**

**If you do not understand any point or need any help to complete this form, please call your Customer Support Team or our general enquiry number 03455 212 414.**

**SIPP** (where applicable)

I hereby request James Hay Partnership appoints the above named investment manager/stockbroker to my SIPP and I accept and agree that;

- I am solely responsible for all decisions relating to the purchase, retention and sale of the investments forming part of the James Hay SIPP. Where my account is operated on an Execution Only or Advisory basis, I accept that it is the joint responsibility of myself and my financial adviser to ensure that any investments purchased comply with James Hay Partnership's published Permitted Investments List.
- I indemnify James Hay Services Limited, James Hay Pension Trustees Limited and James Hay Administration Company Limited jointly against any claim for losses in respect of such decisions.
- I acknowledge and accept that James Hay Services Limited, James Hay Administration Company Limited and James Hay Pension Trustees Limited have not carried out, and shall not in future carry out, any review of the nominated investment manager's/stockbroker's financial status, their investment and/or risk strategies, nor will James Hay Partnership monitor the ongoing performance of them. I am, or my financial adviser is, responsible for checking these matters on my behalf and ensuring that the investment manager/stockbroker is suitable for my investment objectives.

- My investment manager/stockbroker will be bound by the investment manager/stockbroker terms of business agreed with James Hay Partnership. I will not take any action, intentionally or otherwise, or instruct my investment manager/stockbroker to take actions that result in a breach of this agreement.
- I confirm I have read the investment provider's own literature for details of fund sustainability and climate-related credentials (if applicable).
- I have seen and I understand and accept the terms and conditions and charges schedule of the investment manager/stockbroker I wish to appoint.

Client's signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

## Notes

### Account types

**Execution Only** - Your appointed investment manager transacts trades on your or your financial adviser's instructions without providing you with initial investment advice.

**Advisory** - Your appointed investment manager provides investment advice which you or your financial adviser may choose to act upon, and transacts trades in accordance with instructions.

**Discretionary** - Your appointed investment manager manages your SIPP fund, making decisions on the investments on your behalf and transacting trades, and periodically reports on the investments made and the fund's performance.

We are able to provide literature in alternative formats. For a Braille, large print, audio or E-text version of this document call us on 03455 212 414 (or via the Typetalk service on 18001 03455 212 414).

"James Hay Partnership" is the trading name of Nucleus Group Services Limited (NGSL) (registered in England, number 02538532); James Hay Services Limited (JHS) (registered in Jersey, number 77318); IPS Pensions Limited (IPS) (registered in England, number 02601833); James Hay Administration Company Limited (JHAC) (registered in England, number 04068398); James Hay Pension Trustees Limited (JHPT) (registered in England, number 01435887); James Hay Wrap Managers Limited (JHWM) (registered in England, number 04773695); James Hay Wrap Nominee Company Limited (JHWNC) (registered in England, number 07259308); PAL Trustees Limited (PAL) (registered in England, number 01666419); Sarum Trustees Limited (SarumTL) (registered in England, number 01003681); The IPS Partnership Limited (IPSP) (registered in England, number 01458445); Union Pension Trustees Limited (UPT) (registered in England, number 02634371). NGSL, IPS, JHAC, JHPT, JHWM, JHWNC, PAL, SarumTL, IPSP, UPT have their registered office at Suite B & C, First Floor, Milford House, 43-55 Milford Street, Salisbury, SP1 2BP. JHS has its registered office at Aztec Group House, IFC6, The Esplanade, St Helier, Jersey, JE4 0QH. JHAC, JHWM, IPS, IPSP, are authorised and regulated by the Financial Conduct Authority. NGSL, IPS, IPSP, PAL, UPT, JHWM, JHPT, JHAC, SarumTL and JHS are members of a VAT group with VAT registration number 514 0358 80. All companies are wholly owned subsidiaries of Nucleus Financial Platforms Limited (registered in England, number 06033126) whose registered office is at Suite B & C, First Floor, Milford House, 43-55 Milford Street, Salisbury, SP1 2BP, and are members of the Nucleus Group. Further details of the Nucleus Group can be found at [nucleusfinancial.com](http://nucleusfinancial.com) (12/24)