

## Investment Centre Regular Buy Form

(For Modular ISA, Modular GIA, Wrap Investment Portfolio, Wrap ISA and Wrap Offshore Bond only)



### Application guide

This form should be used if you wish to set up a regular purchase of Investment Centre funds for your product.

**If you have signed up to our secure online service, James Hay Online, you can place Investment Centre trades online free of charge. Instructions submitted on this form will incur a transaction charge. Please see your product Charges Schedule, available at [www.jameshay.co.uk](http://www.jameshay.co.uk), for more information.**

Please complete this form in BLOCK CAPITALS and return it by:

**Post** to James Hay Partnership, Dunn's House, St Paul's Road, Salisbury, SP2 7BF, or

**Secure message** - sent as an attachment via the messaging service of your James Hay Online account.

If you require any assistance, please call your Customer Support Team or our general enquiry number 03455 212 414.

### TRADES PLACED WITHOUT FINANCIAL ADVICE

#### Target market

Before deciding to invest, you should consider the fund manager's target market for your chosen fund and whether your requirements are in accordance with this. This can be obtained through our website [www.jameshay.co.uk](http://www.jameshay.co.uk), through our secure online service James Hay Online or by contacting the fund manager directly. James Hay will not assess whether you meet the fund manager's target market and therefore whether the fund is appropriate for your needs – you need to make this assessment yourself.

#### Aggregated costs and charges

If you are investing in a fund which is a UCITS fund, and so the fund manager produces either a Key Investor Information Document (KIID) or a Key Information Document (KID), then before investing you also need to have been provided with the aggregated costs and charges of making the investment. This includes the fund manager's charges and also James Hay's charges for making the investment.

To do this, you will need to phone us on 03455 212 414 and tell us which funds you intend to invest in, and we will produce the costs and charges disclosure document for you. This will provide you with a reference number, which you need to insert on the declaration section of this form.

**Please note that if you do not do this before instructing us to invest, this will delay your investment, as we will have to contact you to do this as it is a regulatory requirement.**

### TRADES PLACED WITH FINANCIAL ADVICE

#### Target market

As part of the process of providing advice to you, your financial adviser will consider the fund manager's target market for each fund and whether your requirements meet this when making their recommendations to you. James Hay will not make any assessment of whether you meet the target market for a fund and therefore whether the fund is appropriate for your needs.

#### Aggregated costs and charges

As the end distributor of the fund, your financial adviser will need to provide you with the aggregated costs and charges disclosure prior to investing. This disclosure will need to include their own adviser charges, James Hay's charges for making the investment (available from the product's Charges Schedule) and the fund manager's charges. Your financial adviser will be asked, as part of the declaration they need to sign to instruct the investment, to confirm that they have provided this to you. To assist your financial adviser in doing this, they can use our online aggregated costs and charges calculator.

### 1 Personal details

Applicant to complete

Member name

Product number

Financial adviser company name

Contact name

Contact telephone number

Contact email

Are you a UK resident?

Yes

☐

No

☐

If **No**, please state country of residence

**1a Product**

Applicant to complete

From which product do you wish to buy Investment Centre funds?  
(Please tick one box only):

- |                                      |                                            |                                                    |
|--------------------------------------|--------------------------------------------|----------------------------------------------------|
| <input type="checkbox"/> Modular ISA | <input type="checkbox"/> Wrap ISA          | <input type="checkbox"/> Wrap Investment Portfolio |
| <input type="checkbox"/> Modular GIA | <input type="checkbox"/> Wrap ISA (ex-PEP) | <input type="checkbox"/> Wrap Offshore Bond        |

Please complete a separate **Investment Centre Buy Form** for each product type.

**2 Investment frequency**

Applicant to complete

Please confirm the frequency of the regular investments:

- |             |                          |           |                          |
|-------------|--------------------------|-----------|--------------------------|
| Monthly     | <input type="checkbox"/> | Quarterly | <input type="checkbox"/> |
| Half-yearly | <input type="checkbox"/> | Annually  | <input type="checkbox"/> |

Date of first regular buy (month)

OR

As soon as possible ☐

We will arrange for the investment to be made as soon as is practicable after your selected start date, bearing in mind any constraints or limits imposed by the fund managers. This will normally be on a set date each month, chosen at our discretion.

**2a Investment options**

- Wrap Investment Centre Funds – available for the Wrap products listed
- Modular ISA Funds – available within the Modular ISA
- Modular GIA Funds – available within the Modular GIA

For all funds contained within this instruction, please access and read the current version of the Key Investor Information Document (KIID) or Key Information Document (KID) for UCITS funds, or the current version of the Simplified Prospectus for other funds, where available. These documents are available on the Fund Research section of our website [www.jameshay.co.uk](http://www.jameshay.co.uk).

For more details of the fund and adviser charging options available in the Wrap Investment Centre funds, please refer to the Wrap Investment Centre Funds List on our website. Please also refer to the Wrap Terms and Conditions relating to the operation of the Wrap Investment Centre.

For more details of the fund and adviser charging options available in the Modular ISA and Modular GIA funds, please refer to the Modular ISA and Modular GIA Fund Lists on our website. Please also refer to the Modular ISA or Modular GIA Terms and Conditions relating to the operation of the Investment Centre.

### 3 Source of funds

Applicant to complete

Please provide details of the source of funds you wish to use to make the investment.

Product bank account

Amount only

£

Other source of funds – please provide details

**PLEASE NOTE:** If source of funds is not the product bank account, this may delay your investment being made.

### 3a Investment Centre funds

Applicant to complete

Please provide the full details of each fund you wish to buy in the Investment Centre.

Modular ISA, Modular GIA or Wrap fund	Fund provider	Fund name	ISIN code <sup>1</sup>	Accumulation/Income <sup>2</sup> (please state A or I)	Gross investment amount (£) <sup>3</sup>	Initial adviser charge % <sup>4</sup>
Total amount to be invested					£	

<sup>1</sup> The ISIN code can be found on the Modular ISA, Modular GIA or Wrap Investment Centre Funds Lists available at [www.jameshay.co.uk](http://www.jameshay.co.uk).

<sup>2</sup> If no preference has been made to share/unit class, we will not be able to proceed with the instruction, and your request will be delayed.

<sup>3</sup> The minimum investment into each fund is £1. (Note: This could vary subject to the fund manager's minimum).

<sup>4</sup> The maximum initial adviser charge is 5% and must be within the maximum amount agreed by you, as communicated to us on the Adviser Charges Form. We will not be able to pay any initial adviser charge without your authority. Any recurring adviser charge is paid at the product level. Recurring adviser charges are not available at the fund level.

**Client**

I confirm the instructions in Section 3.

If I am investing in the Modular ISA or Modular GIA, I confirm I have read and agree to the Terms and Conditions relating to the operation of the Investment Centre as set out in the Modular ISA or Modular GIA Terms and Conditions.

If I am investing in the Investment Centre through a James Hay Wrap, I confirm I have read and agree to the Terms and Conditions relating to the operation of the Investment Centre as set out in the Wrap Terms and Conditions.

If I am investing in a UCITS fund, I certify that I have either:

- printed a copy of the current version of the Key Investor Information Document (KIID) or Key Information Document (KID)(as appropriate); or
- saved an electronic copy of the current version of the KIID or KID (as appropriate).

I confirm that I am not a US Person and I am eligible, under the terms and conditions of the product, to invest in the chosen fund(s).

I have received financial advice from my appointed financial adviser before making the decision to instruct this trade.

Yes ☐ No ☐

**Where no financial advice is being obtained in respect of this investment:**

- I have considered the fund(s) target market(s) and whether my requirements are in accordance with it prior to making the decision to invest, and acknowledge that James Hay will not make any assessment of this.
- I have obtained the aggregated costs and charges information as required by regulation. The reference number for this disclosure is:

**Client**

Signature

Date

**Financial adviser (where instructing on behalf of the client)**

I confirm the instructions in Section 3.

If the client is investing in Modular ISA or Modular GIA, I confirm I have provided the client with the Terms and Conditions relating to the operation of the Investment Centre as set out in the Modular ISA or Modular GIA Terms and Conditions.

If the client is investing in the Investment Centre through a James Hay Wrap, I confirm I provided the client with the Terms and Conditions relating to the operation of the Investment Centre as set out in the Wrap Terms and Conditions.

I confirm that if the client is investing in a UCITS fund, I have provided the client with a copy of the Key Investor Information Document or Key Information Document (as appropriate) (and any other documentation required under the UCITS IV Directive).

I confirm that the client is not a US Person and confirm that the client is eligible, under the terms and conditions of the product, to invest in the chosen fund(s).

I confirm that I have provided financial advice to the client in respect of this transaction.

I confirm that I have considered the fund(s) target market(s) and whether the client's requirements meet this, as part of the advice process.

I confirm that I have provided the client with the aggregated costs and charges disclosure as required by regulation (MiFID II and FCA rules).

**Financial adviser (on behalf of the client)**

Signature

Print name

Date

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 2601833); James Hay Administration Company Limited (JHAC) (registered in England number 4068398); James Hay Pension Trustees Limited (JHPT) (registered in England number 1435887); James Hay Wrap Managers Limited (JHWM) (registered in England number 4773695); James Hay Wrap Nominee Company Limited (JHWNC) (registered in England number 7259308); PAL Trustees Limited (PAL) (registered in England number 1666419); Sarum Trustees Limited (SarumTL) (registered in England number 1003681); The IPS Partnership Plc (IPS Plc) (registered in England number 1458445); Union Pension Trustees Limited (UPT) (registered in England number 2634371). JHS has its registered office at Aztec Group House, 11-15 Seaton Place, St Helier, Jersey, JE4 0QH. NGSL, IPS, JHAC, JHPT, JHWM, JHWNC, PAL, SarumTL, IPS Plc, and UPT have their registered office at Dunn's House, St Paul's Road, Salisbury, SP2 7BF. JHAC, JHWM, IPS and IPS Plc are authorised and regulated by the Financial Conduct Authority. (2/23)