

Request to Re-Register Investments into your Modular GIA or Wrap Investment Portfolio



Application guide

Please complete and sign this form if you have existing investments that you wish to hold in your Modular GIA or Wrap Investment Portfolio.

Things to consider:



- Please check that the investments you wish to re-register can be held in your Modular GIA/Wrap Investment Portfolio. You can do this by referring to the relevant Permitted Investments List for your product (available on our website at www.jameshay.co.uk) or by speaking to your financial adviser.
- Investments held in joint names cannot be re-registered into a Modular GIA/Wrap Investment Portfolio.
- For details of the charges applicable to re-registering your investments, please refer to the relevant product's Charges Schedule.

Please complete this form in BLOCK CAPITALS and black ink and return it to the address below, enclosing all original documents for the investments listed in Section 3:



James Hay, Suite 202 Warner House, 123 Castle Street, Salisbury, SP1 3TB



If you need any help with completing this form, please call your Customer Support Team or our general enquiry number on 03455 212 414.

Title

Forename(s)

Surname

Permanent residential address
 Postcode

Telephone

Email

Product type

Modular GIA Wrap Investment Portfolio

Modular GIA/Wrap number

2 Important information

Unit Trusts/OEICs

Upon receipt of a valuation from the existing provider, we will check and review the permissibility of these investments for your product. If permissible, these investments can then be registered into the name of James Hay Wrap Managers Limited's nominee. It is our understanding that no stamp duty is payable on the transfer of Unit Trusts.

Stocks and shares

All stocks and shares must be re-registered into the nominee name of an approved investment manager or stockbroker. You should read the appropriate clauses in your James Hay Modular GIA/Wrap Terms and Conditions and provide us with written confirmation of your choice of investment manager or stockbroker.

In order to open an account with an investment manager or stockbroker, please refer to the 'Investment Manager or Stockbroker Appointment Form', available on our website www.jameshay.co.uk. Once the account has been set up, we will advise you of the nominee's details.

If shares are held by an existing nominee, they can be transferred electronically to the new nominee. Otherwise, the share holder will need to complete Stock/Crest Transfer Forms and send them with the share certificates to the new nominee.

Please note that stamp duty of 0.5% of the value of the stock, rounded up to the nearest £5, may be payable. If the value is under £1,000 then no stamp duty is payable.

If you wish to re-register stocks and shares or bonds, you may provide a current valuation from the existing fund provider and submit it with this document. Alternatively, please fully complete the table below.

Name of share and type	ISIN or SEDOL code	Reference number (if applicable)	Name in which asset is currently registered	Name and address of current stockbroker/investment manager	Number of shares held	Current value £	Name of receiving stockbroker/investment manager

Please ensure that the original share certificates provided with this form match the transfer information provided in the table above.



Before signing this declaration, you should carefully read;

- the terms and conditions relating to the operation of the Investment Centre, as set out in your Modular GIA/Wrap Terms and Conditions; and
- your Modular GIA/Wrap Charges Schedule.

These documents give you important information about your Modular GIA/Wrap Investment Portfolio and together form part of the client agreement upon which we intend to rely.

If you do not understand any point, please contact your Customer Support Team or our general enquiry number on 03455 212 414, or speak to your financial adviser.

I hereby authorise the providers of the investments listed in Section 3, as soon as reasonably practicable, to transfer investments into my James Hay Modular GIA/Wrap Investment Portfolio. This transfer will be made by re-registering the assets, subject to acceptance.

I further instruct the providers of the investments named in Section 3 to provide James Hay Wrap Managers Limited with any information requested in respect of my investments, including but not limited to transaction and dividend histories and details of the current portfolio and its value.

Print name

Signature

Date

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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).

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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 (12/24)