



# Application Form for Limited Companies

## Application guide

Once completed, this application form and supporting documentation should be posted to:

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

Please complete this form in BLOCK CAPITALS.

If you need any assistance in completing this application form, or have any queries, please contact your Customer Support Team or our general enquiry number 03455 212 414.

**Please note: If you disclose personal information about a third party in this form, please ensure you have their permission and have informed them of the purposes for which their information will be processed, before doing so.**

## Important information

The following sections of the application form must be completed before James Hay Wrap Managers Limited (JHWM) can set up your Wrap Investment Portfolio. These sections are marked as 'MANDATORY':

- SECTION 1: Limited Company details**
- SECTION 2: Authorised signatories**
- SECTION 5: Financial adviser's details**
- SECTION 8: Appointment of James Hay Wrap Managers Limited**
- SECTION 10: Limited Company declaration**
- SECTION 11: Financial adviser's declaration**

All other sections of the application form should be completed if relevant.

In addition, before you send your completed application form to James Hay Wrap Managers Limited, please check you have included the following documents (if appropriate) to support your application:

A certified copy of the **Company's Certificate of Incorporation** and **Evidence of Trading Address**.

**Single payments** made by electronic bank transfer (please note - bank details will be available on James Hay Online once the Wrap product is set up, or on request).

**Direct Debit Mandate** if regular payments are to be paid by you.

**Request to Re-register Investments Form** if you wish to re-register investments into the Investment Portfolio.

**Investment Centre Buy Form** if you wish to invest in the Investment Centre.

**Instruction to Trade Form** if you wish to invest in other permitted investments.

**Investment Application Forms** if you wish to purchase other permitted investments.

## 1 Limited Company details - MANDATORY

Applicant to complete

Name of Limited Company

Nature of business

Registration number

Registered address

  
  
  
 Postcode

VAT number (if applicable)

Address for correspondence (if different to registered address) <sup>1</sup>

  
  
  
 Postcode

Contact name for correspondence

Telephone

Email

Please attach the following: (tick if enclosed)

A certified copy of the Company's Certificate of Incorporation, including any change of name certificates ☐

Latest audited reports and accounts, which include details of shareholders and directors ☐

Evidence of trading address e.g. Company Letterhead or recent utility bill ☐

<sup>1</sup> Your financial adviser's address is not acceptable as your address for correspondence.

Please provide details of all signatories who will have the authority to operate this Wrap on behalf of the Limited Company named in Section 1 and provide suitable name and address verification for each signatory by using the Identity Verification Certificate attached to this application form. If you require more than one Verification of Identity Certificate, please photocopy the attached, or obtain further copies from our website at [www.jameshay.co.uk](http://www.jameshay.co.uk), or from the contact details at the beginning of this document.

**First signatory**

Forename(s)

Surname

Title

Position in company

Permanent residential address

Postcode

Telephone

Email

Specimen signature

**Second signatory**

Forename(s)

Surname

Title

Position in company

Permanent residential address

Postcode

Telephone

Email

Specimen signature

**Third signatory**

Forename(s)

Surname

Title

Position in company

Permanent residential address

Postcode

Telephone

Email

Specimen signature

**Fourth signatory**

Forename(s)

Surname

Title

Position in company

Permanent residential address

Postcode

Telephone

Email

Specimen signature

## 2 Authorised signatories (cont.) - MANDATORY

Applicant to complete

We, the Limited Company as detailed above, authorise you to operate our Wrap until further notice on the instructions of the authorised signatories named above as follows (please tick as appropriate):

Any one of the authorised signatories ☐

One specified authorised signatory ☐

(please name)

All of the authorised signatories ☐

**PLEASE NOTE: If you wish to change this authority in the future you will need to write to us at the address at the beginning of this form.**

## 3 Investment Portfolio payment details

Applicant to complete

To make an initial payment into your Investment Portfolio bank account, please indicate the type of payment you wish to make:

Single lump sum payment ☐

**Please complete 3a**

And/or regular payments by Direct Debit ☐

**Please complete 3b**

And/or by re-registering investments ☐

**Please complete the 'Request to Re-register Investments Form' available from our website at [www.jameshay.co.uk](http://www.jameshay.co.uk) or on request.**

### 3a Single lump sum payment

Applicant to complete

We wish to make payment by electronic bank transfer (please note - bank details will be available on request or on James Hay Online once the Wrap product is set up)

Total amount

### 3b Direct Debit instructions for regular payments

Applicant to complete

We wish to make regular monthly payments:

Total amount

Date we wish Direct Debit to start

**PLEASE NOTE: This will be the day each month that the payment will be taken. Start date can only be between the 1st and 28th of any month.**

Please also complete the Direct Debit Mandate attached to this application form. Please allow 20 Business Days for James Hay Wrap Managers Limited to set up any Direct Debits.

## 4 Investment options for Investment Portfolio

Applicant to complete

Should you wish to make an initial investment within your Investment Portfolio, please indicate your choices by ticking one or more of the following. Payment for your investments will be made from the bank account associated with your Investment Portfolio.

**You should keep sufficient cash in the bank account associated with your Investment Portfolio to pay monthly transaction charges and adviser charges to avoid encashment of assets.**

We wish to buy the following:

• **Investment Centre funds** ☐

Please complete an 'Investment Centre Buy Form'

• **Managed Portfolio Panel** ☐

Your financial adviser can select a model portfolio on the Managed Portfolio Panel using James Hay Online.

**PLEASE NOTE: Your financial adviser will need to agree to the investment manager's terms of business prior to investing into a model portfolio on the Managed Portfolio Panel. If you select this option you will be unable to hold any Investment Centre funds outside of one of the model portfolios on the panel.**

• **We wish to appoint an Investment Manager** ☐

Please now complete Section 6.

• **Other Permitted Investments** ☐

If you wish to buy funds that are not available in the Investment Centre, please complete an 'Instruction to Trade Form' and enclose the appropriate fund manager's application form, having completed the amount to be invested, the fund choice and adviser charges details. As the investment will be made by us, we will complete the rest of the investment application form.

For full details of the range of Investment Portfolio investments available, please refer to your copy of the 'Wrap Investment Portfolio Permitted Investments List'. The 'Investment Centre Buy Form', the 'Instruction to Trade Form' and the 'Wrap Investment Portfolio Permitted Investments List' are available at [www.jameshay.co.uk](http://www.jameshay.co.uk) or on request.

**PLEASE NOTE: Third party investment providers/managers may impose additional requirements for Limited Company Applicants. You and your financial adviser will be responsible for ensuring these are met.**

**5 Financial adviser's details - MANDATORY**

Applicant to complete

Company name

Network name (if applicable)

Contact name

FCA Authorisation number or other recognised regulator

Financial adviser name

Address

Postcode

Telephone

Email

**5a Financial adviser's initial charges**

Applicant to complete

Please indicate the percentage of the money and assets transferred into your Wrap which you would like to be paid as a product level initial adviser charge to your financial adviser. Alternatively please indicate the level of adviser charge payable as a one-off payment.

A maximum of 5% (inclusive of VAT) product level initial adviser charge can be applied.

Percentage of amount invested in your Wrap

 %

or

One payment of

 £

Please note that a product level initial adviser charge will only be paid from the Investment Portfolio upon receipt of an invoice on the financial adviser's headed paper, addressed to James Hay Wrap Managers Limited stating a monetary amount.

Where further money or assets are received after the Wrap has commenced, the same terms will apply and invoices should be submitted at the same time. Where applicable, the above amounts are inclusive of VAT.

**Our payment terms are 28 days from the receipt of the invoice.**

**5b Financial adviser's product level recurring charges**

Applicant to complete

This section confirms the levels of recurring adviser charges for the Investment Portfolio.

Please indicate the annual amount of product level recurring adviser charges to be paid to your financial adviser and included in your monthly transaction charges.

**PLEASE NOTE: A maximum of 7% p.a. (inclusive of VAT) product level recurring adviser charges can be applied.**

**Option one**

Value of assets in your Investment Portfolio (excluding assets selected opposite)

Total	Level of adviser charge
Total Portfolio	% p.a.

**OR Option two (Tiered)**

Amount	Level of adviser charge
First £	% p.a.
Next £	% p.a.
Next £	% p.a.
Next £	% p.a.
Over £	% p.a.

**OR****Option three (monthly)**

Level of adviser charge	
£	per month

Are adviser charges to be applied across all assets within the Investment Portfolio?

Yes ☐ No ☐

If **No**, please tick which categories of assets you wish to **exclude**:

Investment Centre funds (including Managed Portfolio Panel) ☐

Investments purchased through Investment Manager ☐

Cash held in the Investment Portfolio bank account ☐

Other investments ☐

**5c Financial adviser's initial charge on investment trades**

Applicant to complete

This is the maximum amount that may be paid on any investment buy or switch trade.

The initial investment level adviser charge will need to be confirmed on each investment instruction.

A maximum of 5% (inclusive of VAT) investment level adviser charge can be facilitated from the Wrap.

Percentage

 %**6 Investment Manager**

Applicant to complete

Is the Investment Manager to be appointed your financial adviser named in Section 5? ☐

If you have ticked the box, please continue to Section 7.

If you would like to appoint an Investment Manager who is not your financial adviser please complete the following details:

Investment Manager name

Contact name

FCA firm reference number (if known)

Address

Postcode

Telephone

Email

Is your Investment Manager to hold funds on your behalf for the Investment Portfolio?

Yes ☐ No ☐

(Money will be passed to the Investment Manager in accordance with your instructions).

If **Yes**, please confirm the amount you wish to be transferred to your Investment Manager

£

**7 Data Protection Statement**

Applicant to complete

You can access full details on what to expect when we process your and any third party's personal data under your product in the Data Protection Statement - James Hay Products document, which is available on our website at [www.jameshay.co.uk](http://www.jameshay.co.uk) or by calling us on 03455 212 414. If you have any questions about data protection, please contact us using the contact details in the Data Protection Statement.

At James Hay, we conduct market research to improve our products and services. Please tick this box if you do not wish to receive invitations to participate ☐

You can change your mind at any time by contacting us.

**8 Appointment of James Hay Wrap Managers Limited - MANDATORY**

Applicant to complete

At a meeting of the Board of Directors/Committee of

(Name of company)

on

D	D	M	M	Y	Y	Y	Y
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(Date of resolution)

It was resolved that James Hay Wrap Managers Limited be appointed to provide the Wrap Service in respect of the James Hay Wrap and that James Hay Wrap Managers Limited is empowered to act upon instructions from the authorised signatories named in Section 2 relating to the operation of the Wrap.

James Hay Wrap Managers Limited is authorised to accept this as binding on the Company, provided such agreement is signed on our behalf in the manner described above.

We confirm that the above is an accurate record of what was resolved at the meeting.

Signature of the Chairman of the meeting

Signature

Date

D	D	M	M	Y	Y	Y	Y
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Name

Signature of the Secretary of the meeting

Signature

Date

D	D	M	M	Y	Y	Y	Y
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Name

You have the right to cancel this Wrap application.

Once you have submitted your application we will send you a cancellation notice, which confirms that you will have 14 days from receipt of the notice to let us know that you have changed your mind and therefore wish to cancel your application.

We will set up your Wrap during your 14 day cancellation period and you can give us investment instructions during this time. However, if you choose to cancel your Wrap under the terms of the cancellation rights, any investment held will be sold, and we will arrange to return/transfer any money that has been received in each product.

## 10 Limited Company declaration - MANDATORY

Applicant to complete

**Before signing this declaration, it is important that you carefully read the James Hay Wrap Non Personal Client Terms and Conditions; the Wrap Charges Schedule; the Permitted Investments Lists for the products within the James Hay Wrap service; and the Key Features of the products within the James Hay Wrap Service. These documents specify important information about your James Hay Wrap, how the product works, the benefits and risks and the charges you will pay.**

**There is a lot of information for you to consider so, if you are in any doubt about whether the James Hay Wrap is right for you, we strongly recommend that you seek advice from your financial adviser.**

**If you have any queries, please direct them to James Hay Wrap Managers Limited, Suite 202 Warner House, 123 Castle Street, Salisbury, SP1 3TB or telephone us on 03455 212 414.**

10.1 We authorise James Hay Wrap Managers Limited (JHWM) to set up and administer our Wrap Portfolio in accordance with the James Hay Wrap Non-Personal Client Terms and Conditions (subject to JHWM accepting our application to do so).

10.2 We declare that this investment is not a relevant deposit as defined in Section 481 of the Income and Corporation Taxes Act 1988.

10.3 We authorise JHWM and their agents to deal directly with the providers and issuers of investments held within the Wrap Portfolio and their agents, all so as to give practical effect to our application for a Wrap Portfolio and any instruction we or the financial adviser/Investment Manager may give you within the scope of the Terms and Conditions for James Hay Wrap Non-Personal Clients.

10.4 We authorise the financial adviser and any authorised signatories named in this Application to act on our behalf, to authorise Transactions and to issue instructions to JHWM in connection with our Wrap Portfolio until we notify you to the contrary in writing.

10.5 We accept that the financial adviser named in this Application will normally provide investment transaction instructions to JHWM. However, if JHWM receives an investment transaction instruction from us directly it will only be accepted on the basis of the authority provided in Section 2.

10.6 We authorise JHWM to:

- a. Purchase, sell and otherwise deal in the investments selected by us or our financial adviser at such times and in such amounts as instructed and to give all instructions, orders or requests as JHWM thinks fit for such purpose provided that such instructions shall not contravene any legal requirements or limitations relating to the particular product.
- b. Appoint any third party as agreed with us or our financial adviser to carry out such instructions or generally to manage investments with or without prior reference to

Please note that if the value of your investments has fallen in the period between your money being invested and the time your cancellation instruction is received by us, you will not receive back the full amount that you invested. This is explained in the cancellation notice that we will send to you.

us or to execute instructions thereafter to be intimidated by us or our financial adviser. The appointment of any such third party (whether or not originally appointed by the Attorney) may be revoked by JHWM without our or our financial adviser's consent and without any liability to JHWM.

c. Pay any costs, charges and fees incurred in connection with the carrying out of such instructions.

d. Transfer money from the bank account to any of the other product bank accounts to facilitate our or our financial adviser's instructions in respect of the Wrap Portfolio.

10.7 We accept that James Hay Wrap Managers Limited will not assess us or the company against an investment manufacturer's target market when we make any investments. Our Financial Adviser will make such an assessment.

10.8 We authorise JHWM or its nominee to hold investments within our Wrap Portfolio on our behalf and to receive interest, dividends and any other rights or proceeds in respect of those investments and any other cash on our behalf, and to reinvest or pay those dividends and other rights or proceeds in accordance with our instructions or those of our financial adviser/Investment Manager.

10.9 We acknowledge that we have been independently advised in relation to the suitability of, and the Terms and Conditions of, the appointment of any Investment Manager appointed to provide Investment Management services.

10.10 We acknowledge that JHWM has not provided us with any advice under the terms of the Financial Services and Markets Act 2000, in respect of any aspect of our Wrap Portfolio or the appointment of any Investment Manager and has no responsibility for doing so.

10.11 We have not received and do not expect to receive from JHWM any advice in relation to our Wrap Portfolio or investments, including whether we should buy, retain or sell any particular investments. We acknowledge and accept that JHWM will not carry out any review of our financial adviser's and/or Investment Manager's financial status, their investment and/or risk strategies, nor will JHWM monitor the ongoing performance of these persons.

10.12 We acknowledge and accept that:

- a. All transactions in respect of the Wrap Portfolio are at our own risk and that JHWM have no liability for any investment decision and,
- b. JHWM shall be entitled to rely upon the instructions, orders and requests reasonably believed by JHWM to have been provided to it by us or our financial adviser.

- 10.13 JHWM is authorised to withdraw cash from the Wrap Portfolio in order to pay its fees and those of any third party or any other money which is lawfully due and owing and to disinvest from any investments of any Product without our instructions if cash funds, after reasonable effort, cannot be obtained from me.
- 10.14 We agree that any indebtedness or liability incurred by JHWM under this authority shall, in the absence of any express written agreement to the contrary, be due and payable by us on demand.
- 10.15 We authorise you to send correspondence to the Contact Name at the Correspondence Address notified in Section 1.
- 10.16 We authorise JHWM to send copies of all statements issued in respect of our Wrap Portfolio and to disclose details of that Portfolio to our financial adviser as named on this application. We agree that our financial adviser may receive adviser charges from JHWM in respect of our Wrap Portfolio.
- 10.17 We confirm that to the best of our knowledge and belief, the information given in this application form is true and complete.
- 10.18 We, or the authorised signatories, undertake to inform JHWM promptly in writing of any changes to the information contained in this application form as soon as we are aware that what is stated is no longer true and complete.
- 10.19 We accept that in addition to any Identity Verification Certificate that our financial adviser is obliged to complete for us, or the authorised signatories, which forms part of our application, JHWM may at its discretion use a third party of its choosing to fulfil its obligations under the Money Laundering Regulations. We, or the authorised signatories, accept that the results of any such third party verification searches will not be seen or used by lenders to assess our ability to obtain credit.
- 10.20 We accept that it is a serious offence to make false statements and that the penalties are severe and could lead to prosecution.

This application form and the Declarations in this Section are signed as approved and made by us on behalf of the Limited Company named in Section 1.

By signing this Application Form below, we confirm:

- **Our Financial Adviser has provided us with the following documents: the James Hay Wrap Non Personal Client Terms and Conditions; the Wrap Charges Schedule; the Permitted Investments Lists for the products within the James Hay Wrap service; the Key Features of the products within the James Hay Wrap Service; and the Data Protection Statement - James Hay Products.**
- **We agree to be bound by, and to at all times comply with, the James Hay Wrap Non Personal Client Terms and Conditions; the Wrap Charges Schedule; the Permitted Investments Lists for the products within the James Hay Wrap service; and the above Declaration.**

#### Signature of First Authorised Person

Signature

Date

D	D	M	M	Y	Y	Y	Y
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Name

Position in company

#### Signature of Second Authorised Person

Signature

Date

D	D	M	M	Y	Y	Y	Y
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Name

Position in company



I/We confirm that I/we are acting and will act for the applicant, named in Section 1 of this application form in accordance with the terms of business entered into between my/our client and myself/ourselves.

I/We agree that any instructions, including investment transaction instructions, provided to James Hay Wrap Managers Limited will be made on the basis that all parties named as authorised signatories in this application form are in agreement with the instruction provided.

I/We agree that James Hay Wrap Managers Limited will action my/our instructions on the basis that all parties have agreed to this and I/we agree that James Hay Wrap Managers Limited will not accept any liability for carrying out instructions where I/we do not receive the appropriate authority from my/our client.

I/We acknowledge and agree that I/we are responsible for advising the applicant as to the suitability of any investment transactions that are to be undertaken within this Wrap Portfolio.

Signature

Date

D	D	M	M	Y	Y	Y	Y
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Name

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)



# Confirmation of Verification of Identity - Private Individual

Introduction by an FCA-regulated firm

## Explanatory notes

1. A separate confirmation must be completed for each client (e.g. joint holders, Trustee cases and joint life cases). Where a third party is involved, e.g. a payer of contributions who is different from the client, the identity of that person must also be verified, and a confirmation provided.
  - Those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations, **or**
  - Those whose identity has been verified using the source of funds as evidence.
2. This form cannot be used to verify the identity of any client that falls into one of the following categories:
  - Those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification, **or**
3. This confirmation must carry an original signature, or an electronic equivalent.

Please complete this form in BLOCK CAPITALS.

## 1 Details of individual - MANDATORY

Financial adviser to complete

Full name of client

Date

D	D	M	M	Y	Y	Y	Y
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Residential address

Postcode

Previous address if individual has changed address in the last three months

Postcode

## 2 Confirmation - MANDATORY

Financial adviser to complete

I/We confirm that

(a) the information in Section 1 above was obtained by me/us in relation to the client

(b) the evidence I/we have obtained to verify the identity of the client:

(tick only one)

☐ meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG, **or**

☐ exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).

Signed

Name

Position

Date

D	D	M	M	Y	Y	Y	Y
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## 3 Details of introduction firm (or Sole Trader)

Financial adviser to complete

Full name of regulated firm (or sole trader)

FCA reference number

**Wrap**

## Instruction to your Bank or Building Society to pay by Direct Debit

Please fill in the whole form using a ball point pen and send it to:

James Hay Wrap Managers Limited  
 Suite 202 Warner House  
 123 Castle Street  
 Salisbury  
 SP1 3TB

Service User Number

8	8	0	1	2	3
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Name(s) of Account Holder(s)


Reference

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Bank/Building Society Account Number

--	--	--	--	--	--	--	--	--	--

Branch Sort Code

--	--	--	--	--	--

### Instruction to your Bank or Building Society

Please pay James Hay Wrap Managers Limited Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee.

I understand that this Instruction may remain with James Hay Wrap Managers Limited and, if so, details will be passed electronically to my Bank/Building Society.

Name and full postal address of your Bank or Building Society

To: The Manager	Bank/Building Society
Address	
Postcode	

Signature(s)
Date

Banks and Building Societies may not accept Direct Debit Instructions for some types of account

JHAY0383 MAY25 INT

This guarantee should be detached and retained by the Payer

## The Direct Debit Guarantee



- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits
- If there are any changes to the amount, date or frequency of your Direct Debit, James Hay Wrap Managers Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request James Hay Wrap Managers Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request
- If an error is made in the payment of your Direct Debit, by James Hay Wrap Managers Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society
  - If you receive a refund you are not entitled to, you must pay it back when James Hay Wrap Managers Limited asks you to
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.