

Investment Centre Buy Form

(For Modular iSIPP, Private Client SIPP and Wrap SIPP only)



Application guide

Please complete this form if you wish to buy Investment Centre funds for your SIPP. To enable us to execute your instructions, please fully complete each section. Forms which are not complete will be returned to you to provide any missing information.

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, 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, 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.

STANDARDISED INVESTMENT OPTION - For non-advised pension investors

If you are not following financial advice with regard to your investment choices and do not wish to select your own investments, one option available to you is a range of target retirement funds via our Investment Centre.

We have identified them as being suitable to meet the needs of a typical non-advised pension investor. Please note they are ready-made portfolios, aligned to a preset range of retirement dates, and are not tailored to an individual's retirement goals.

Please note these funds are managed by Vanguard, and their inclusion on our platform does not mean we endorse or recommend them.

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.

If your investment needs and objectives fall outside of this standardised option, you may wish to consider other investment choices.

If you want to ensure that your investment choices are suitable for your financial goals, we strongly suggest you engage with a financial adviser.

For more information, please see the Standardised Investment Option page of our website at www.jameshay.co.uk/standardised-investment-option-for-non-advised-pension-investors/.

1 Personal details

Applicant to complete

Full name

Product number

Financial adviser company name

Contact name

Contact telephone number

Contact email

Fax number

Are you a UK resident?

Yes No

If **No**, state country of residence

- Select Funds – available within the Modular iSIPP and Private Client SIPP
- Collect Funds – available within the Modular iSIPP and Private Client SIPP
- Wrap Investment Centre Funds - available within the Wrap SIPP
- Standardised Investment Option - available within the Modular iSIPP, Private Client SIPP and Wrap SIPP

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.

For more details of the fund and adviser charging options available, please refer to the Select Funds List and the Collect Funds List on our website if you are investing in Select and/or Collect Funds within a non Wrap product. Please also refer to the Select Funds Terms and Conditions and the Collect Funds Terms and Conditions relating to the operation of the Select Funds and the Collect Funds respectively.

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 Investment Centre.

The option to invest in Investment Centre funds is not available for life office pension products provided and/or administered by James Hay.

3a 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
£

SIPP commercial property bank account (if applicable)

Amount only
£

Other source of funds – please provide details (for example, pension transfer from ABC provider)

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

3b Investment Centre funds

Applicant to complete

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

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

¹ The ISIN code can be found on the Wrap Investment Centre Funds List or SIPP Select and Collect Funds Lists available at www.jameshay.co.uk.

² 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.

³ The minimum investment into each fund is £1. This includes additional investments. (Note: This could vary subject to the fund manager's minimum).

⁴ The maximum initial adviser charge is 5% (including VAT) 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 Select and/or Collect Funds, I confirm I have read and agree to the Terms and Conditions relating to the operation of the Select and Collect Funds as set out in the Select Funds Terms and Conditions and the Collect Funds Terms and Conditions, or the SIPP product's Terms and Conditions, as appropriate.

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 SIPP 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 confirm 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.

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 Select and/or Collect Funds, I confirm I have provided the client with the Terms and Conditions relating to the operation of the Select and Collect Funds as set out in the Select Funds Terms and Conditions and the Collect Funds Terms and Conditions, or the SIPP product's Terms and Conditions, as appropriate.

If the client is investing in the Investment Centre through a James Hay Wrap, 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 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 (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 SIPP 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.

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)