Investment Centre Switch Form

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

JHAY0596A

Application guide

Please complete this form if you wish to switch Investment Centre funds held within your SIPP.

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
Fax to 03333 206 342 (or if faxing from outside the UK, on 0044 1722 338588).

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 switch into a fund, 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.

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 switch to a fund is appropriate for your needs.

1 Personal details

Applicant to complete

Full name

SIPP 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

2 Investment options

- 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.

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 at 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 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 Wrap Investment Centre.

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

3 Investment Centre funds to be switched

Applicant to complete

Please provide the full details of each Investment Centre fund you wish to switch from and to. All Investment Centre switches are processed as a sale and then a purchase.

SELL INVESTMENT CENTRE FUNDS

Wrap, Select or Collect fund	Fund provider	Fund name	ISIN code [1]	Encash total holding of fund? (please tick if YES)	If NO – Cash amount (£) OR	Number of units
				Total amount to be sold (if applicable)	£	

BUY INVESTMENT CENTRE FUNDS

Wrap, Select or Collect fund	Fund provider	Fund name	ISIN code [1]	Accumulation/ Income [2] (please state A or I)	Percentage breakdown % [3]	Initial adviser charge % [4]

[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] This must total 100%. The minimum investment into each fund is £1. (Note: This could vary subject to the fund manager's minimum).

[4] The maximum initial adviser charge is 5% including VAT. Any initial adviser charge must be withing the maximum amount agreed by the client, as communicated to us on the Adviser Charges Form. We will not be able to pay any initial adviser charge without such client authority. Any recurring adviser charge is paid at the product level. Recurring adviser charges are not available at the fund level.

PLEASE NOTE: It is not possible to switch between different fund ranges e.g. Wrap to Select or Collect.

4 Declaration

Applicant to complete

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 as set out in the SIPP product's Terms and Conditions, as appropriate.

If I am investing in the Wrap Investment Centre, 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 switch.

Yes ☐ No ☐

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

- I have considered the target market(s) for the fund(s) I am switching into and whether my requirements are in accordance with it prior to making the decision to switch, and acknowledge that James Hay will not make any assessment of this, nor will James Hay provide me with any financial advice.

Client

Signature

Date D D M M Y Y Y Y

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 (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 SIPP product, to invest in the chosen fund(s).

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

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

Financial adviser (on behalf of the client)

Signature

Date D D M M Y Y Y Y

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).