

# Investment Manager/Stockbroker Appointment Form

(For Modular iSIPP, Modular GIA, iSIPP, Private Client SIPP, Partnership SIPP, Wrap SIPP and Wrap Investment Portfolio only)



JHAY0856

## Application guide

Please use this form if you wish to appoint an investment manager/stockbroker other than EQi (formerly Selftrade) to act on behalf of your chosen product. You must complete and sign the declaration in Section 4.

In addition to this form, James Hay also requires the Client Agreement and Terms of Business from the investment manager/stockbroker to open the account. For the Partnership SIPP, as a dual Trustee SIPP, you will also need to sign the

investment manager's/stockbroker's account opening forms as co-trustee.

Please complete this form in BLOCK CAPITALS and black ink and return it to: James Hay Partnership, Dunn's House, St Paul's Road, Salisbury SP2 7BF. If you need any help to complete this form please call your Service Executive Team or our general enquiry number 03455 212 414.

## 1 Personal details Applicant to complete

Mr  Mrs  Ms  Miss

Date of birth

Other (please state)

Address

Forename(s)

Surname

Email

Product number

## 2 Product type Applicant to complete

Please indicate which product you wish the investment manager/stockbroker to be appointed to:

Modular iSIPP  iSIPP  Wrap SIPP  Modular GIA

Private Client SIPP  Wrap Investment Portfolio  Partnership SIPP

## 3 Investment manager/stockbroker firm details Applicant to complete

Name of the investment manager/stockbroker firm

Address

Contact name

Telephone number

Fax number

Email

Authorisation number

Basis of appointment:  
 Execution Only  Advisory  Discretionary

For more information on differences between account types, please see the notes section of this document.

**Next steps**  
 Once the account is opened, please use the 'Cash Transfer' tool via James Hay Online to transfer a single amount to your investment manager/stockbroker. For help with this, please contact your Service Executive Team, or our general enquiry number 03455 212 414.

In order to set up a regular transfer, please submit a written instruction via fax, post or secure message, confirming the amount, frequency and start date.

If you wish to instruct an in-specie transfer of assets from your current investment manager/stockbroker to your new investment manager/stockbroker, please submit a clear, written instruction via fax, post or secure message.

**Before signing this form please read the declarations below carefully.**

**If you do not understand any point or need any help to complete this form, please call your Service Executive Team or our general enquiry number 03455 212 414.**

**SIPP** (where applicable)

I hereby request James Hay Partnership appoints the above named investment manager/stockbroker to my SIPP and I accept and agree that;

- I am solely responsible for all decisions relating to the purchase, retention and sale of the investments forming part of the James Hay SIPP. Where my account is operated on an Execution Only or Advisory basis, I accept that it is the joint responsibility of myself and my financial adviser to ensure that any investments purchased comply with James Hay Partnership's published Permitted Investments List.
- I indemnify James Hay Services Limited, James Hay Pension Trustees Limited and James Hay Administration Company Limited jointly against any claim for losses in respect of such decisions.
- I acknowledge and accept that James Hay Services Limited, James Hay Administration Company Limited and James Hay Pension Trustees Limited have not carried out, and shall not in future carry out, any review of the nominated investment manager's/stockbroker's financial status, their investment and/or risk strategies, nor will James Hay Partnership monitor the ongoing performance of them. I am, or my financial adviser is, responsible for checking these matters on my behalf and ensuring that the investment manager/stockbroker is suitable for my investment objectives.
- My investment manager/stockbroker will be bound by the investment manager/stockbroker terms of business agreed with James Hay Partnership. I will not take any action, intentionally or otherwise, or instruct my investment manager/stockbroker to take actions that result in a breach of this agreement.
- I have seen and I understand and accept the terms and conditions and charges schedule of the investment manager/stockbroker I wish to appoint.

**Modular GIA and Wrap** (where applicable)

I hereby request James Hay Partnership appoints the above named investment manager/stockbroker to the Modular GIA or Wrap products as indicated above and I accept and agree that;

- I am solely responsible for all decisions relating to the purchase, retention and sale of the investments forming part of the products. Where my account is operated on an Execution Only or Advisory basis I accept that it is the joint responsibility of myself and my financial adviser to ensure that any investments purchased comply with James Hay Partnership's published Permitted Investments Lists.
- I indemnify James Hay Wrap Managers Limited (JHWM) against any claim for losses in respect of such decisions.
- I acknowledge and accept that JHWM has not carried out, and shall not in the future carry out, any review of my nominated investment manager's/stockbroker's financial status, their investment and/or risk strategies, nor will JHWM monitor the ongoing performance of them. I am, or my financial adviser is, responsible for checking these matters on my behalf and ensuring that the investment manager/stockbroker is suitable for my investment objectives.
- My investment manager/stockbroker will be bound by the investment manager/stockbroker terms of business agreed with JHWM. I will not take any action, intentionally or otherwise, or instruct my investment manager/stockbroker to take actions that result in a breach of this agreement.
- I have seen and understand and I accept the terms and conditions and charges schedule of the investment manager/stockbroker I wish to appoint.

Client's signature

Date

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## Notes

### Account types

**Execution Only** - Your appointed investment manager transacts trades on your or your financial adviser's instructions without providing you with initial investment advice.

**Advisory** - Your appointed investment manager provides investment advice which you or your financial adviser may choose to act upon, and transacts trades in accordance with instructions.

**Discretionary** - Your appointed investment manager manages your SIPP, Modular GIA or Wrap fund, making decisions on the investments on your behalf and transacting trades, and periodically reports on the investments made and the fund's performance.

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)

www.jameshay.co.uk