Personal Pension Trust Application Form

You should use this form to open a Personal Pension Trust for a SIPP scheme to invest in funds and Exchange Traded Instruments (ETIs) on the Fidelity platform. ETIs include UK shares, European Crest Depository Interests (CDIs), Exchange Traded Funds (ETFs) and Investment Trusts.

Do not use this form if:

- You intend to open a Fidelity SIPP
- You intend to top up an existing Pension Trust account, including SIPP/SSAS
- You intend to open a Occupational pension scheme/Small Self-Administered Scheme (SSAS)

For any other types of pension trust and their application forms, please visit www.fidelity.co.uk/forms/companies-trusts or contact your adviser.

How to fill in this form:

- Please use black ink and write clearly inside the boxes provided using capital letters
- Mark your answers with a cross in the appropriate box like this: ☒
- If you make a mistake, please correct it but don't use correction fluid
- Any applications that are not completed correctly, may incur delays or could be returned to you

What you need to know about setting up this account:

- The account will be set up in the name of the Corporate Pension Trustee as the primary account holder and individual trustees as secondary holders.
- Further information on additional documents which you may need to submit is available in the Appendix to this application form

Who can make payments:

- We only accept payment from the Pension Scheme bank account
- We can accept a cheque or bank transfer; we will contact you with our bank details on receipt of the application, please do not transfer payment to us beforehand.

What's next?

Please send your completed application form to:

Fidelity
PO Box 391
Tadworth
KT20 9FU

1 About the Corporate Pension Trustee

Name of the Corporate Pension Trustee

Corporate Pension Trustee Address (Care' and PO Box are not acceptable. Only UK addresses are eligible)

Correspondence will be sent to this address

Postcode

Telephone number

New account designation (eg. plan number)

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1 About the Corporate Pension Trustee (continued)

Legal Entity Identifier (LEI)

You will need to give us a Legal Entity Identifier (LEI) if you are going to buy, sell or switch into or out of ETIs. An LEI is a unique identifier for legal entities or companies, charities and trusts, it helps to clearly identify the entity and is a regulatory reporting requirement when trading in ETIs. It displays amongst other attributes, the legal name of an entity, the registration number, legal jurisdiction, as well as contact details such as the legal address the entity. For information in how to apply for an LEI, please go to fca.org.uk and search for 'LEI update'.
Fidelity will always use the LEI for reporting purposes for occupational pension schemes. For personal pensions, Fidelity will report the beneficial owner details where provided or otherwise the scheme LEI.

Pension Scheme Tax Reference (PSTR)
Please provide the scheme's PSTR and supply evidence of registration such as PSTR certificate or print-screen from HMRC website showing PSTR information or pension scheme annual return

2 Details of individual trustees

Please only complete this section where the member(s) are appointed as trustee(s). If the member is not a trustee, we do not require their details completed.

Title **Surname**

First and other names in full

Fidelity Account Number or Customer Reference Number (if you already have an account with us)

Address This must be a UK residential address. We cannot accept 'Care of' and 'PO Box' addresses.

House number and/or name

Street, city, county and country details

Postcode

Telephone number (in case we need to check anything) **Mobile**

Email

National Insurance number
It is two letters and six digits, followed by A, B, C or D.

No National Insurance number?
If you have never been issued with a National Insurance number, please mark an X in the box. ☐

Date of birth (DDMMYYYY)

2 Details of individual trustees (continued)

Are you a UK National only? (please mark an X in the box) ☐

Are you a UK National and National of one or more other countries? ☐
(mark an X in the box and list all other countries below)

Are you a National of Non-UK countries only? ☐
(tick box and list all other countries below)

Nationality 1

Nationality 2

Nationality 3

Nationality 4

3 Your contribution choices

- We use Fund code/ISIN/Sedol to determine your investment; please complete in capital letters. For details of all investment options, fund codes and ISIN codes at fidelity.co.uk/funds
- If we can't determine your investment choice, we'll place the contribution amount into cash.
- If investing on our new platform, for ETIs, we will only trade full shares; any cash that is left over from a trade will be held within your account. In some instances, you may receive less that your requested amounts, should the share price change while your instruction is being processed
- If you wish to deal on ETIs, please ensure you have provided us with an LEI in this application form
- There are specific charges related to dealing on an ETI; please refer to our website or our Client Terms for more information

3.1 Lump sum contribution

- Minimum investments for lump sum is £1,000

How do I make payment?

☐ Cheque/banker's draft – must be made payable to Fidelity and include the account holder's name. E.G. "Fidelity re: account holder's name". Cheques must be issued from the Pension Scheme or the administrator. Payments from other parties are not permitted. In addition, for banker's drafts and building society cheques, the reverse of the draft/cheque must contain the details of the original account debited including the full name, account number and sort code and must be endorsed with the bank's official stamp.

☐ Bank transfer (including faster payments) – please complete the originating bank details below. We will contact you to arrange the payment

Your bank details:

If you're looking to make an electronic payment, please confirm where the payment will be made from;

Bank name

Account holder name

Account number

Sort code

Contact details for arranging the payment

Title

☐ Mr ☐ Mrs ☐ Ms Other:

Surname

First name

Telephone number

Email address

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3 Your contribution choices (continued)

3.2 Regular savings plan (RSP) details

Total amount for your Regular Savings Plan
(the amount you wish to invest on a regular basis) £ ☐☐☐☐☐☐☐.☐☐

- Minimum amount for your regular savings plan is £25
- We require 12 working days to set up or amend any RSP from receipt of the application
- Please select the date you wish the collection for your RSP to take place. Please note that the first collection may be in the following month depending on your selection

☐ 1st ☐ 10th ☐ 17th ☐ 25th

- Please select the frequency of the collections. Please note that the first collection may be in the following month depending on your selected collection date.

☐ Monthly ☐ Quarterly ☐ Bi-Annually ☐ Annually

Fidelity INTERNATIONAL

Instruction to your bank or building society to pay by Direct Debit

DIRECT Debit

Please fill in the whole form using a ballpoint pen and send to:
Fidelity, PO Box 391, Tadworth, KT20 3FU.

Name and full postal address of your bank or building society

To: The Manager Bank/building society

Address

Postcode

Name(s) of account holder(s)

Bank/building society account number

Branch sort code

Service User Number

4	4	6	1	3	8

Reference

Instruction to your bank or building society
Please pay Financial Administration Services Ltd 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 Financial Administration Services Ltd and, if so, details will be passed electronically to my bank/building society.

Signature(s)

Date

Banks and building societies may not accept Direct Debit instructions for some types of account

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3 Your contribution choices (continued)

FUND CODE / ISIN / SEDOL	FUND NAME	LUMP SUM (£)	REGULAR SAVINGS (%)
PCA	CASH		
		TOTAL INVESTMENT AMOUNT	

FOR ADVISER USE ONLY

Initial Fee Amount (£)

Total Amount (£)
(This is the total of the investment amount and the initial fee amount)

Investments made into Cash will be made into the cash holding within the account

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4 Your income choices

If you have chosen income bearing investments, please choose how you would like your income to be paid.

☐ The income should be reinvested. I understand that small sums may be paid to cash within my account where a reinvestment cannot be made

☐ The income should be paid to cash within the account

☐ The income should be paid to the bank account provided in this section, and payments made on the payment date and frequency as detailed below

Frequency when I wish to receive payment

☐ Monthly ☐ Quarterly ☐ Bi-Annually ☐ Annually

Date when I wish to receive payment; the payment will be made on or around the selected date

☐ 1st ☐ 10th ☐ 17th ☐ 25th

Bank name

Account holder name

Account number

Sort code

Building society collection account number

With some building society accounts, we need your roll number, as well as the eight-digit collection account number. If you are in any doubt as to which numbers to give us, please ask your building society.

If no selection is made, the income will be treated by a default choice; this will depend whether you are investing directly with us or you are an adviser making investment on behalf of your client.

- If you are investing directly, the income will be paid to the cash within your account
- If you are investing through an adviser, the income will be reinvested

5 Intermediary details (if applicable)

Company stamp

Unique Adviser Number

FCA number

I confirm that I am registered with the FCA to conduct business and my authorisation number is:

Restricted Mass Market Investments

When recommending that my client invests in any form of Crypto Exchange Traded Note ('cETN'), I confirm that I have assessed the client's investing knowledge and experience with reference to investing in crypto; explained the special risks involved with investing in crypto backed investments, such as high volatility, the potential to lose all value, and the risks of losing money caused by cyber-crime, financial crime and firm failure in the unregulated crypto market; the lack of FSCS protection; the fact that the FOS will not consider performance complaints; and the risk of holding too much of a single type of a high risk investment such as crypto.

If you wish to set up an Adviser Ongoing Fees or Discretionary Fund Manager Ongoing Fees you can do this online.

Intermediary signature

Date signed

(DDMMYYYY)

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6 Declaration and signature

By signing this form, I/We declare that:

- I/We confirm that this application is for a UK registered pension scheme that
    - o Is solely tax resident in the UK
    - o Meets the definition of an exempt beneficial owner under the International Tax Compliance Regulations 2015 for the purpose of FATCA
    - o Meets the definition of a non-reporting financial institution under the International Tax Compliance Regulations 2015 for the purposes of Common Reporting Standard
- I/We understand that the information I/we provide on this application form will be processed in accordance with Fidelity's privacy statement, a link to which is contained in the Fidelity Client Terms or the "Your personal information" section of the Fidelity Adviser Solutions Client Terms (as applicable). I/We understand that such information will be held in confidence and not passed to any company other than as outlined without my/our permission or unless required by law
- The information I/we have given is correct to the best of my knowledge, and I/We will tell Fidelity immediately if any of it changes.
- I/We have read and agree the latest Fidelity Client Terms or the Fidelity Adviser Solutions Client Terms (as applicable)
- I/We I have read and agree the latest Key Features Document, either Doing Business with Fidelity or Doing Business with Fidelity Adviser Solutions (as applicable)
- I/We have read the latest key information document or product summary
- I/We have read the illustration document
- I/we have provided the information required in the Appendix
- I/We agree to provide Fidelity with written details of future changes of company directors together with specimen signatures.

We need the signatures of two authorised signatories, unless the signatory list states that one is enough.
Please provide an up-to-date signatory list with this form.

FIRST CORPORATE BODY SIGNATURE

X X

FIRST CORPORATE BODY PRINT NAME

SECOND CORPORATE BODY SIGNATURE

X X

SECOND CORPORATE BODY PRINT NAME

INDIVIDUAL TRUSTEE SIGNATURE

X X

INDIVIDUAL TRUSTEE SIGNATURE PRINT NAME

Date signed

2 0 **(DDMMYYYY)**

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7 Appendix: Submitting the application

We require the following documentation to set up an account:

- A Personal Pension Trust application form in the name of the corporate trustee as the primary account holder and individual trustees as secondary holders.
- The establishing Trust Deed for the Scheme and any subsequent deeds of amendment
- PSTR certificate or print-screen from HMRC website showing PSTR information or pension scheme annual return.

For the corporate trustee:

- The names and dates of birth of all directors and Chairperson/CEO/CFO. We need the name and position of the people who sign the application form and will cross reference authority to act. This information can be sent by letter on company letterhead.
- Verification for shareholders who own more that 25%. Where there is no shareholder with more that 25%, we need to verify the Senior Management Officials for the company, a list of names can be sent by letter on company letterhead with standard Anti-Money Laundering evidence for each.
- A board resolution or equivalent detailing the powers/authority of each of the authorised signatories. We additionally need a signatory list with names and specimen signatures. For some companies, this could be the same document, either a board resolution or signatory list, but must fulfil both requirements: specific powers/authority and specimen signatures.

Payment:

We only accept payment from the scheme bank account (we cannot accept payment from any other source). We can accept cheques or electronic payments; we will contact you with our bank details on receipt of the application (please do not transfer a payment to us beforehand)

Investing in Exchange Traded Instruments (ETI's):

For accounts held for a personal pension the LEI for the corporate pension trustee.

For the individual trustees:

We will need to verify all individual trustees

Correspondence:

The correspondence will be sent to the corporate trustee.

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