CURTIS BANKS

Curtis Banks,
3 Temple Quay,
Bristol, BS1 6DZ
T 0370 414 7000
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curtisbanks.co.uk

Adviser election form
Authority to pay adviser charges/Appointing a new financial adviser

For use with Curtis Banks heritage products.

For Your Future SIPP, SSAS or any Suffolk Life product(s), please use the appropriate form from our website www.curtisbanks.co.uk.

1 Accessing our services

If you experience difficulties accessing any of our services due to personal circumstances, we may be able to make some adjustments to help you. Please provide us with details of your needs so we can assess any reasonable adjustments that we can make for you.

The information you provide will help us assess your requirements and make any reasonable adjustments to improve how we work and communicate with you.

We will require your consent to process this information, and to enable us to share this data with other third parties where appropriate, e.g. investment firms or advisers, to help us, and others to continue to meet your needs. Please could you kindly provide this below.

☐ I agree to my information being processed by Curtis Banks Group, to include being shared and gathered between relevant third parties.

Please refer to our Privacy Information Notice for Clients, should you require further guidance on how we collect use and protect your personal information. This can be found on our website **www.curtisbanks.co.uk** or please ask your adviser or us for a copy.

Your consent to share personal information is entirely voluntary and you may withdraw your consent at any time. Should you have any questions about this process, or wish to withdraw your consent, please contact the Client Management Team on 0370 414 7000 or cmt@curtisbanks.co.uk.

2 Client's details

Client's name

Client/Plan reference

Please tick one of the three options below:

☐ This form is to be used as authority to pay adviser charges.

☐ This form is to be used to appoint a new adviser.

☐ This form is to be used for both authority to pay adviser charges and appointing a new adviser.

3 Adviser's details

Name of authorised individual

Full name of regulated organisation

If this form is being used to appoint a new financial adviser please complete the rest of this section, otherwise please go onto section 4.

All required non-regulatory correspondence will be sent to this address. Copies can also be sent to the client at their request.

Contact address

Contact numbers **Telephone** **Fax**

3 Adviser's details (continued)

Email address	
Name of regulator	
Financial Services Register reference number for organisation	
Financial Services Register reference number for individual	

If the regulated organisation is an appointed representative or part of a network, please give details below.

Name of principal or network	
Financial Services Register reference number for principal or network	

4 Adviser's declaration

- I confirm that I have the appropriate authorisation to sign this declaration for the organisation detailed in section 3.
- I agree to receive details of my client's SIPP by post, fax, email and/or via the Curtis Banks secure portal.
- I understand that you will hold my title, full name, business email address, contact details and Financial Services Register reference number and all communications to and from me on your systems for your legitimate interest in the effective administration of my client's SIPP (you should also read our Privacy Information Notice (for advisers). This can be found on our website www.curtisbanks.co.uk).
- The organisation detailed in section 3 accepts responsibility to ensure that instructions they or any of their employees or agents give to any appointed investment manager to purchase investments will be in accordance with the latest available Schedule of Allowable Investments. This includes the requirement not to purchase investments that would give rise to a tax charge or liability as taxable property as defined under Part 2 Schedule 29A of the Finance Act 2004. If a non-allowable investment is purchased the organisation agrees to indemnify Curtis Banks for any loss or liability, including any tax charge or penalty levied by HM Revenue & Customs on Curtis Banks, as a direct result of the plan holding such an investment.

Name		Position in organisation	
Signed		Date	

Please discuss the figures in section 5 below with your client before that section is completed.

5 Client's declaration (including adviser charges)

- I accept that Curtis Banks will correspond with my adviser shown in section 3 unless I give written notice to the contrary.
- I authorise Curtis Banks to accept investment and all other instructions in relation to any of the plans within my SIPPs at Curtis Banks from the adviser shown in section 3, unless and until I inform Curtis Banks in writing to the contrary.
- I agree that any invoice received by Curtis Banks from my previous adviser, up to the date that this form is received by Curtis Banks, may be paid unless instructed otherwise by me. I understand that any invoice received by Curtis Banks from my previous adviser, after the date that this form is received by Curtis Banks, will not be paid unless I provide separate authority to Curtis Banks in writing.

Adviser's charges

- I authorise Curtis Banks to pay my adviser (detailed in section 3) the following adviser charges.
- I understand that an adviser charge will be paid from my SIPP bank account on receipt of an invoice or paid by my nominated investment manager to my adviser.
- I confirm that any adviser charges are genuinely commercial arrangements between myself and my adviser and only relate to pensions advice and services provided.

5 Client's declaration (continued)

	Fixed Monetary Amount (Excl.VAT)		Subject to VAT?
Initial/one-off adviser charge	£		Yes / No
Ongoing adviser charge	£	of the plan value each year in arrears	Yes / No
	£	of the gross amount of each regular contribution received	Yes / No

	Percentage Amount (Excl.VAT)		Subject to VAT?
Initial/one-off adviser charge	%	of the current fund value	Yes / No
Ongoing adviser charge	%	of the plan value each year in arrears	Yes / No
	%	of the gross amount of each regular contribution received	Yes / No

If you have more than one Curtis Banks plan, please state the fixed charge to be paid from each plan.

Please make ongoing payments at a frequency of:

☐ Yearly ☐ Half Yearly ☐ Quarterly

Bank details

Must be completed

Please pay adviser charges to the following bank account:

Bank or building society

Sort code

Account in the name(s) of

Account number

Roll number

Payment reference

Curtis Banks will pay agreed charges upon production of a correct invoice.

☐ An invoice is enclosed with this form ☐ An invoice will be sent at a later date

Client name

Signature of client

Date

Curtis Banks Limited,
3 Temple Quay,
Bristol, BS1 6DZ

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Call charges will vary. We may record and monitor calls.
If you're contacting us by email, please remember not to send any personal, financial or banking information because email is not a secure method of communication.