# 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 SIPP with an individual as trustee
- You intend to open a Occupational pension scheme/Small Self-Administered Scheme (SSAS)

IMPORTANT NOTE: This form should be used for Personal Pension Trusts - SIPPs, where the trustee is a corporate body.

For any other types of pension trust and their application forms, please visit www.fidelity.co.uk/forms/ corporate-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
- 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						

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# 1 About the Corporate Pension Trustee (continued)

New account designation (eg. plan number)					
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.

# 2 Your contribution choices

- We use Fund code 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 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

# 2.1 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					
Mr Mrs Ms Other:					
Surname					
First name					
Telephone number					
Email address					

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2 Your contribution choices (continu	Jeuj										
.2 Regular savings plan (RSP) details											
<b>otal amount for your Regular Savings Plan</b> the amount you wish to invest on a regular basis)	£				] [] .						
Minimum amount for your regular savings plan is £2 We require 12 working days to set up or amend an Please select the date you wish the collection for yo in the following month depending on your selection	y RSP fro our RSP t		•				the fi	rst co	llectio	on ma	y be
1 <sup>st</sup> 10 <sup>th</sup> 1	<b>7</b> <sup>th</sup>			25 <sup>th</sup>							
Please select the frequency of the collections. Pleas depending on your selected collection date.	e note th	hat the	first co	llectio	n may	be in	1 the	follov	wing	month	
Monthly Quarterly B	3i-Annual	ly		Annua	lly						
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Please fill in the whole form using a ballpoint pen and send to:	ciety to	,	by Dire		bit	8	3			0IRE 0eb	CT it
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INTERNATIONAL 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	Service (	pay b	by Dire	ect De	bit	8	3				cTit
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INTERNATIONAL         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	Service I Service I Reference Instruction Please p detailed Guarante	User Num Use	by Dire	building station Sebject to th	bit 3 society ervices Ltc e safegu uction ma	d Direct ards as: y rema	t Debits sured I	by the D Financie	)irect De al Admi	ebit nistratior	
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INTERNATIONAL         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	Service I Reference Instruction Please p detailed Guarante Services society.	User Num 4 ce on to you ay Finance in this ins ee. I unde Ltd and, i	ber 6	building startion Sebject to th	bit 3 society ervices Ltc e safegu uction ma	d Direct ards as: y rema	t Debits sured I	by the D Financie	)irect De al Admi	ebit nistratior	CT it

# 2 Your contribution choices (continued)

FUND CODE / ISIN / SEDOL	FUND NAME		LUMP SUM (£)	REGULAR SAVINGS (%)
PCA	CASH			
	то	TAL INVESTMENT AMOUNT		
<b>.</b>		Initial Fee Amount (£)		
Investments made into Cash will be made	OR ADVISER USE ONLY	Total Amount (£) (This is the total of the investment amount and the initial fee amount)		
into the cash holding within the account				

# 3 Your income choices

lf you	have chosen income bearing investments	s, 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						
Frequ	ency when I wish to receive payment						
	Monthly Quarterly Bi-Annually Annually						
Date	when I wish to receive payment; the pay	ayment will be made on or around the selected date					
	1 <sup>st</sup> 10 <sup>th</sup>	17 <sup>th</sup> 25 <sup>th</sup>					
Bank	name						
Accou	nt holder name						
Accou	nt number	Sort code					
Buildi	ng 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

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#### 4 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:



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)

#### 5 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
- 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

FIRST C	CORPORATE BODY SIGNATURE		FIRST CORPORATE BODY PRINT NAME
X		] <b>X</b>	
SECON	D CORPORATE BODY SIGNATURE		SECOND CORPORATE BODY PRINT NAME
X		<b>X</b>	
			Date signed

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# 5 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 (if there is more than one trustee, please use the Pension Trustee application form)
- 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.

### Correspondence:

The correspondence will be sent to the corporate trustee.

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