

Application form for Pension investment

This application form is for investment into the following **Walker Crips** plan:

☐ UK Step Down Kick-out Plan (CT092)

The closing date for applications is 12 January 2024.

This application form can be used for new investment and to invest proceeds from a matured plan held with Walker Crips. Applications can only be accepted if the financial adviser declaration has been completed in section 9.

Funding the investment

Please indicate how you will fund this investment

- ☐ I have attached a cheque made payable to 'Walker Crips Investment Management Limited'.
- ☐ I am making a bank transfer to the following bank details:
- | | |
|----------------|--|
| Account Name | Walker Crips Investment Management Ltd |
| Bank | HSBC Bank plc |
| Sort code | 40-05-30 |
| Account Number | 40025232 |
| Reference | Please quote the member's designation reference and ensure this is specified in Section 1 – 'Name of Scheme' |
- ☐ I am using proceeds from a matured plan held with Walker Crips.

Application sections

Please ensure all of the following sections are fully completed

- | | | | |
|---|--|---|---------------------------------------|
| 1 | Scheme details | 6 | Financial advice and adviser charging |
| 2 | SIPP investment only | 7 | Trustee or Authority signatures |
| 3 | Scheme's Bank details | 8 | Declaration and authorisation |
| 4 | Investment details | 9 | Financial adviser declaration |
| 5 | Personal and financial circumstances of the beneficial owner of the SIPP | | |

Contact

For any queries please contact:

Website www.wcgplc.co.uk/wcsi
Email wcsi@wcgplc.co.uk
Telephone 020 3100 8880
Fax 020 3100 8822

Address for all correspondence:

Walker Crips Structured Investments
Old Change House
128 Queen Victoria Street
London
EC4V 4BJ

1. Scheme details

If you are already a client of Walker Crips or have previously invested in a Walker Crips Structured Investments Plan please provide your account number:

Account Name (Full name of the Scheme)

Scheme Trustee/Provider

Full name

Address

Postcode

Telephone

Email address

HMRC ref.

Plan ref.

VAT number

FCA Firm Reference
Number (FRN)

Scheme Administrator (If different to above)

Full Name

Address

Postcode

HMRC ref.

Plan ref.

VAT number

FCA Firm Reference
Number (FRN)

Type of pension scheme (please tick one box only)

☐ A self-invested personal pension scheme (SIPP)

☐ A small self-administered
scheme (SSAS) Please
provide LEI:

☐ Other (please specify)

LEI:

HMRC scheme
reference number

2. SIPP investment only - SIPP Member Details

Title (Mr/Mrs/Miss/Other)

Surname

Full forenames

Permanent residential address

Post code

Date of birth

Telephone

Nationality

Email address

Country of birth

Place of birth

Yes No

Are you resident in the UK for tax purposes?

☐☐

If yes, please provide your National Insurance Number

If no, please note that this Plan is open to individuals who are resident in the UK for tax purposes only. Please speak to your financial adviser for advice on any alternative options available to you.

Additional country(ies) of tax residency and Tax Identification Number(s) (if applicable)

Country

TIN

Country

TIN

Yes No

Are you a US Person?

☐☐

If yes, please note that this Plan is not offered to US Persons. Please speak to your financial adviser for advice on any alternative options available to you.

3. Scheme's bank details

Please provide details of the bank/building society account into which you would like any payments to be made, either during the investment term or following maturity:

Bank/Building
Society name

Account name

Sort code

--

Account number

Reference

4. Investment details

New Investment

- | | | |
|--|--------------------------------|----------------|
| i. Total amount being sent (e.g. amount on cheque) | <input type="text" value="£"/> | |
| ii. Adviser charge deducted (if any) | <input type="text" value="£"/> | |
| iii. We apply to subscribe the following net investment amount | <input type="text" value="£"/> | (min. £10,000) |

5. Personal financial circumstances of the beneficial owner of the SIPP/SSAS Members

Primary source of wealth (tick all that apply)

- | | | | | |
|-------------------------------------|--------------------------------------|---------------------------------------|--|--|
| ☐ Employment | ☐ Investment | ☐ Savings | ☐ Business ownership/sale | ☐ Property ownership/sale |
| ☐ Pension | ☐ Inheritance | ☐ Family trust | ☐ Other | <input type="text"/> |

Primary source of funds (tick all that apply)

Select the option that best describes where the funds you will transfer to Walker Crips originate from

- | | | |
|--|---|---|
| ☐ UK bank | ☐ UK investment firm | ☐ Transfer from an unregulated firm (UK or overseas) |
| ☐ Overseas bank | ☐ Overseas investment firm | ☐ Internal transfer from existing Walker Crips account |
| ☐ Other | <input type="text"/> | |

Employment status (tick all that apply)

- | | | | |
|---|--|------------------------------------|----------------------------------|
| ☐ Full time employment | ☐ Self employed | ☐ Homemaker | ☐ Retired |
| ☐ Part time employment | ☐ Unemployed | ☐ Other | <input type="text"/> |

Occupation details - required (previous details, if retired):

Investment using Maturity Proceeds

- | | | |
|--|--------------------------------|--|
| i. Total amount of our maturity proceeds | Full amount | ☐ (Please tick) |
| | Partial amount | <input type="text" value="£"/> |
| ii. Adviser charge deducted (if any) | <input type="text" value="£"/> | |
| iii. We apply to subscribe the following net investment amount | <input type="text" value="£"/> | (min. £10,000) |

6. Financial advice and adviser charging

All applications must be submitted via a financial intermediary (e.g. an FCA regulated financial intermediary, investment manager or execution only broker). If you do not have a financial intermediary please contact us before submitting an application.

☐ I/we have **not** received financial advice and am making this investment on an execution only basis

☐ I/we have received advice from a financial adviser

Firm name

Adviser name

Have you paid the adviser charges?

☐ Yes, I/we have paid the adviser charges separately.

☐ No, I/we have not paid the adviser charges and would like you to pay the amount detailed in section 4 to my/our financial adviser. Please note that the maximum charge we are able to facilitate is 4% of your total investment.

7. Trustee or Authority signatures

The exercise of any options under the Terms and Conditions of the Plan must be authorised by the requisite number of authorised signatories set out in the Scheme's governing document or, where a number is not stipulated, by at least one authorised signature. Please provide the names and sample signatures of all those who will be Authorised Signatories. **If you require more than four, please continue on a separate sheet of paper.** Where there is any change to the Authorised Signatories, please notify Walker Crips in writing giving the date of change at Walker Crips Structured Investments, Old Change House, 128 Queen Victoria Street, London EC4V 4BJ. Walker Crips Investment Management Limited will be entitled to rely on the previous list until they are informed to the contrary.

Signing authority ☐ Any one ☐ Any two ☐ Other (please specify)

First Trustee / SIPP Member

Company name

Title (Mr/Mrs/Miss/Other)

Surname

Full forenames

Permanent residential/business address

Postcode

Date of birth

Nationality

Country of permanent residence

Tax Identification Number eg National Insurance number

Signed

Date

Are you a US Person?

☐

Yes

☐

No

Second Trustee

Company name	
Title (Mr/Mrs/Miss/Other)	Surname
Full forenames	
Permanent residential/business address	
Postcode	
Date of birth	Nationality
Country of permanent residence	Tax Identification Number eg National Insurance number
Signed	Are you a US Person? ☐ Yes ☐ No
Date	

Third Trustee

Company name	
Title (Mr/Mrs/Miss/Other)	Surname
Full forenames	
Permanent residential/business address	
Postcode	
Date of birth	Nationality
Country of permanent residence	Tax Identification Number eg National Insurance number
Signed	Are you a US Person? ☐ Yes ☐ No
Date	

Fourth Trustee

Company name	
Title (Mr/Mrs/Miss/Other)	Surname
Full forenames	
Permanent residential/business address	
Postcode	
Date of birth	Nationality
Country of permanent residence	Tax Identification Number eg National Insurance number
Signed	Are you a US Person? ☐ Yes ☐ No
Date	

8. Declaration and authorisation

For your own benefit and protection, before signing this application form please ensure that you have been provided with the Key Information Document (KID) and have read the Plan brochure, including the risks associated with investment in the Plan and the Terms and Conditions under which the Plan will be managed.

If you require further information or if there is anything you do not understand, please speak to your financial adviser before signing this application form.

I/We declare that:

- I/We have received the KID and carefully read the Plan brochure and accept the Terms and Conditions under which the Plan will be managed;
- I/We have full power to invest in the Plan and have taken all necessary action to authorise the making of this application. The person(s) signing this application has full power and authority to do so on our behalf;
- The pension scheme is registered under Part IV of the Finance Act 2004 (or an application for its registration has been made) and we undertake to advise Walker Crips Structured Investments immediately if it ceases to be a registered pension scheme or its application for registration is withdrawn or refused;
- I/We are not, and am/are not acting on behalf of a resident of the United States or a US Person(s) and we will not assist any such person to acquire investment within the Plan;
- I/We will inform Walker Crips immediately if I/we become a resident of the United States or a US Person;
- I/We agree to inform Walker Crips immediately should there be any change in the scheme's residence for tax purposes;
- the application form and this declaration have been completed to the best of my/our knowledge and belief and the information provided is true and complete.

I/We authorise Walker Crips Investment Management Limited (WCIM):

- to purchase, hold and administer the Plan on my/our behalf and in accordance with the Terms and Conditions of the Plan as set out in the Plan brochure;
- to accept instructions from and release any information in relation to my/our investment in the Plan to my/our financial adviser, as detailed in Section 6 and/or Section 9 of this application form.

Adviser charges

By signing this application, I/we confirm that:

- where I/we have requested Walker Crips to facilitate payment of my/our adviser charge to my/our financial adviser, I/we instruct you to deduct the adviser charge as indicated in section 4 and pay the deducted amount to my/our financial adviser.
- my/our adviser has fully explained their charges to me/us and I/we understand that, should I/we exercise my/our cancellation rights after the adviser charge has been paid, WCIM will not return any adviser charges to me/us. I/We will need to contact my/our financial adviser regarding any refund
- I/we understand that WCIM is simply facilitating adviser charges and any queries regarding these payments will need to be discussed with my financial adviser.

Signed Authorised Signatory		Signed Authorised Signatory	
Print name		Print name	
Date		Date	
Signed Authorised Signatory		Signed Authorised Signatory	
Print name		Print name	
Date		Date	

Applications must be submitted via a financial adviser

9. Financial adviser declaration (THIS SECTION MUST BE COMPLETED IN FULL)

Decision-maker details

Please confirm the individual who made the decision to invest in this Plan:

- | | |
|---|---|
| ☐ SIPP member | ☐ Second trustee |
| ☐ First trustee | ☐ Third trustee |
| ☐ Fourth trustee | ☐ Other (e.g. third party with authority over the account) |

If you ticked other please provide the following details :

Full Name (Forename(s) and Surname)	
Date of Birth	Nationality
Tax Identification Number (e.g. National Insurance Number)	

Target Market

Under Product Governance rules we are required to provide particular distribution information to the Issuer.

Please confirm the following in meeting distributor obligations:

- Does the investor fall within the Target Market for which the Plan has been designed? Yes ☐ No ☐
- If no, please outline your rationale for submitting an application on behalf of an investor falling outside the Target Market

--

It is important to recognise and support vulnerable clients. If you know your client is vulnerable, please tick this box ☐ so that we can update our records.

Declaration

In submitting this application on behalf of the investor, I declare that:

- I acknowledge and understand the target market for whom the Plan applied for has been designed;
- The Plan is compatible with the needs, characteristics and objectives of the investor;
- I have provided the investor with the Key Information Document and Plan brochure;
- Where I have provided the investor with a personal recommendation, I have assessed the suitability of this product in relation to the investor's individual circumstances and investment objectives in accordance with COBS 9;
- Where the investor is making a non-advised investment, I confirm that I have assessed the appropriateness of this product in relation to the investor's investment knowledge and experience in accordance with COBS 10;
- This application form has been completed to the best of my knowledge and belief and I have fully disclosed any adviser charge, if applicable, to the investor(s);
- I understand that any adviser charge facilitated by Walker Crips will be paid after the start date of the Plan, subject to a fully completed Terms of Business agreement being in place;
- I have retained a completed Identity Verification Certificate (IDVC) and documentary evidence for all parties relevant to this application that meets or exceeds the standards set out in the JMLSG guidance. I have seen all original documents and those requiring a signature have been signed. I acknowledge that Walker Crips will rely upon this confirmation for the purposes of The Money Laundering Regulations and that the IDVC and relevant supporting documents will be provided to Walker Crips within two days of any request.

Company name	Adviser signature
Adviser name	
Address or adviser company stamp	
	Contact number
	FCA number
Postcode	Email