



Family Trading Companies Service

Advised Application Form

Don't invest unless you're prepared to lose all the money you invest. This is a high-risk investment. Take 2 minutes to learn more. Please refer to the Risk Summary on page 18 of the Brochure.

Advised Application Form

Application Checklist

Please ensure that the required information in each section is fully completed.

- A) Personal details to be completed by the applicant(s) and power of attorney where applicable
- B) Proposed Company Name and Subscription to be completed by the applicant(s)
- C) Bank details to be completed by the applicant(s)
- D) Adviser details to be completed by the adviser
- E) Adviser charges to be completed by both the applicant(s) and the adviser
- F) Payment details to be completed by the applicant(s)
- G) Declaration to be signed by both the applicant(s) and the adviser
- H) Confirmation of Verification of Identity (COVI) to be completed by the adviser for each applicant

Next Steps

Send your completed Application Form and enclosures to:

Stellar Family Trading Companies Service
Stellar Asset Management Limited
Woodside Corporate Services Limited, First Floor
12-14 Mason's Avenue, London, EC2V 5BT

Please contact us on **020 3195 3500** if you have any questions relating to the completion of this Application Form.

Please note this Application Form contains interactive boxes, to help you fill in the form online. You have the choice of either filling in this Application Form online or on hard copy. In order to use this functionality please download and open the form in the latest version of Adobe Acrobat. You must print and sign a hard copy of this Application Form.

A) Applicant Personal Details

Title

Forenames

Surname

Address

Postcode

Date of birth

Unique tax reference

Are you a US citizen or resident in the US for tax purposes?

Occupation**

Home phone no.

Email address

Country of tax residence*

Town of birth

National Insurance No.

Yes

No

Nationality

Mobile phone no.

Joint Applicant Personal Details

Title

Forenames

Surname

Address

Postcode

Date of birth

Unique tax reference

Are you a US citizen or resident in the US for tax purposes?

Occupation**

Home phone no.

Email address

Country of tax residence*

Town of birth

National Insurance No.

Yes

No

Nationality

Mobile phone no.

* If your country of tax residency is not the UK, please fill out the Tax Residency Form.

** If you are retired, please indicate and provide your previous occupation.

Power of Attorney

Title

Forenames

Surname

Address

Postcode

Country of
tax residence*

Date of birth

Town of birth

Unique tax reference

National Insurance No.

If there is more than one power of attorney please provide the name and address on a separate sheet.

Does the power of attorney allow the delegation
of discretionary powers?

Yes

No

I have enclosed a certified copy of the power
of attorney

Yes

B) Proposed Company Name and Subscription

Proposed Company Name(s) - Minimum application £250,000 per company.

Name

Trading Limited £

Name

Trading Limited £

Name

Trading Limited £

Total Subscription £

By applying for shares in the above company(ies) to be incorporated, I agree to be bound by the Memorandum and Articles of Association of the Company(ies), a copy of which is available upon request.

Tick this box if monies to be invested equally (only for multiple company applications)

Alternative Company Name(s)

Please choose alternative name(s) in case the above name(s) have already been registered at Companies House.

Name

Trading Limited

Name

Trading Limited

Name

Trading Limited

C) Bank Details

Please provide details of the bank account that you would like any funds which arise following your application to be credited to.

Bank name

Account name

Account number

Bank sort code

Building Society
reference

D) About the Adviser

Company

Title

Forenames

Surname

Address

Postcode

Telephone no.

FCA firm reference no.

FCA individual reference

Unique tax reference

Email address

Are you part of a network/service provider?

Yes

No

Please detail network/service provider name and address

About the Administrator to the Adviser

Company

Title

Forenames

Surname

Address

Postcode

Telephone no.

Email address

Please provide the email address for adviser charging statements

Email address

Please provide the bank account details for Stellar to pay your adviser charges by BACS

Account name

Bank sort code

Account number

Stellar reserves the right to withhold adviser/intermediary charges if we are not fully satisfied that the adviser is authorised under the Financial Services and Markets Act 2000 or exempt from authorisation.

E) Adviser Charges

Initial adviser charge (fixed amount):	or	%
Ongoing adviser charge	or	%

The initial adviser charge is taken from your investment and paid to your adviser which reduces the funds to be invested. The ongoing adviser charge amount or percentage stated (whichever is relevant) is an annual amount accrued on a daily basis. If you choose to pay on a percentage basis, this will be calculated on the value of your portfolio. We will pay your adviser six monthly and may sell holdings from your portfolio to facilitate this charge.

I agree to these charges

Applicant signature
(or power of attorney)

Joint applicant signature
(or power of attorney)

Adviser signature

F) Payment

By Cheque

Cheques should be made payable to 'WCSL Stellar FTC Client Account'.

Payment should be made by means of a cheque drawn on an account in the name of the applicant. If this is not practicable, and a cheque is a building society cheque or a bankers' draft, the applicant's name, address and date of birth should be written on the back of the cheque or bankers' draft and the building society or bank must also endorse on the cheque or draft the name and account number of the person whose account is being debited.

By Bank Transfer

To pay by bank transfer, please transfer the money to Woodside Corporate Services Limited (WCSL).

Account name: WCSL Stellar FTC Client Account

Bank: Santander

Sort code: 09-02-22

Account number: 10949670

Reference: Client surname

Source of Funds

Please provide a brief description of the source of funding for your application. e.g. savings, existing investments, proceeds from property sale.

G) Declaration

By the Adviser/Intermediary

By signing this form, I agree that:

- a) I am authorised and regulated by The Financial Conduct Authority (or the equivalent body in an EU member state) to advise on and transact in investments in the UK or the EU;
- b) I consent to Stellar and the Custodian placing reliance on me in carrying out verification checks in line with the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and JMLSG Guidance ('Money Laundering Regulations'), as amended;
- c) I have complied with the requirements of the Money Laundering Regulations currently in force and have duly completed the attached Confirmation of Verification of Identity (COVI) after carrying out the identification and verification checks to establish the identity of the applicant;
- d) I have made a personal recommendation and certify that I have undertaken an assessment of the applicant's expertise and circumstances and confirm that this investment is appropriate for the applicant complying with COBS 9 suitability;
- e) I consent to Stellar relying on my assessment and understand that Stellar reserve the right to request suitability reports;
- f) I have read and understood the Stellar Terms of Business for Intermediaries;
- g) I agree to be bound by these Terms of Business; and
- h) As an Appointed Representative, I warrant and represent that my principal also accepts the Terms of Business for Intermediaries.

Adviser name

Adviser signature

Date

By the Applicant

By signing this form, I hereby declare that:

- a) All monies invested or to be invested in Stellar Family Trading Companies Service by me, belong to me;
- b) I am 18 years of age or over;
- c) To the best of my knowledge and belief the information in this Application Form is correct, and I will inform Stellar immediately of any change that may affect this information;
- d) I agree to all of the provisions of the Service Agreement (including the terms and conditions, fees and any other schedules contained in the Terms and Service Agreement and the Brochure dated May 2025 (together the 'Terms and Conditions'), which I have fully understood and I understand that by signing and completing this Application Form, I shall be deemed to have entered into and shall be bound by the Terms and Conditions;
- e) I have read and understood the terms and the key risks set out in the Terms and Conditions;
- f) I understand that you will rely on my confirmation that I have read the Terms and Conditions and that you will, accordingly, rely on these terms as the basis of the relationship between us;
- g) I agree to the provisions of the terms and conditions and the privacy policy of the Administrator. I have read and understood them.
- h) I agree to adviser charges as set out in Section E on page 6;
- i) I undertake to advise the Administrator within 30 days of any change in circumstances which affects my tax residency status or causes the information contained herein to become incorrect or incomplete;
- j) I acknowledge that the information contained in this application form and information about me may be provided to HMRC and exchanged with tax authorities of another country or countries in which the applicant may be tax resident pursuant to intergovernmental agreements to exchange financial account information;
- k) I consent that in order to satisfy the requirements of the Money Laundering Regulations the Manager and the Administrator may undertake electronic checks to verify my identity and understand that these checks may reference a credit or mutual reference agency which may record the search;
- l) I authorise the Administrator to hold my cash prior to its subscription to my Family Trading Company;
- m) I authorise Stellar to manage my Family Trading Company including its assets and liabilities;
- n) I authorise Stellar to manage my investments in the Stellar Family Trading Companies Service in accordance with the Terms and Service Agreement; and
- o) I consent to personal information obtained in relation to my investment being handled by Stellar Asset Management Limited and their delegates, agents or associates in accordance with this application and data protection legislation in force in the United Kingdom from time to time. Information in relation to me will be held, used, disclosed and processed for the purposes of
 - i) managing and administering my holdings in my Family Trading Company and any related account on an on-going basis;
 - ii) for any other specific purpose where I have given specific consent to do so;
 - iii) to carry out statistical analysis and market research;
 - iv) to comply with any applicable legal or regulatory obligations including company law obligations and anti-money laundering legislation and rules; and
 - v) for other legitimate business interests of my Family Trading Company.
- p) I confirm that I am not a US person for the purposes of US Federal Income Tax and that I am not acting for, or on behalf of a US person. I understand that a false statement or misrepresentation of tax status by a US person could lead to penalties under US law. I agree that if my tax status changes or I become a US citizen or a US resident, I will notify you within 30 days;

Applicant name

Applicant signature (or power of attorney)

Joint applicant name

Joint applicant signature (or power of attorney)

Date

H) Confirmation of Verification of Identity (COVI)

1. The applicant's details (see notes below)

Applicant full name

Current address

Postcode

Previous address
(if changed in the
last three years)

Postcode

Date of birth

Tick 2. Confirmation

I/we confirm that:

- i. The information in section 1, above, was obtained by me/us in relation to the applicant;
- ii. The applicant named in section 1 is acting on his or her own behalf;
- iii. The applicant is
 - a. not a PEP (Politically Exposed Person) or a person known to be a close associate of a PEP; OR
 - b. a PEP or a person known to be a close associate of a PEP;
- iv. There are procedures in place to monitor the activities of the applicant and we will report any suspicious activities to the appropriate authorities, and where appropriate to Woodside Corporate Services Limited or Stellar Asset Management Limited; and
- v. The evidence I/we have obtained to verify the identity of the applicant:
 - a. meets the guidance for standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations; OR
 - b. exceeds the standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations (written details of the further verification evidence taken are attached to this confirmation).
- vi. I/we agree to provide copies of documents obtained to verify identity if requested.

3. Details of introducing firm (or sole trader)

Full name of regulated firm/sole trader

FCA reference number (FRN)

Signed

Name

Position

Date

1. A separate confirmation is to be completed for each applicant (e.g. joint holders or trustees). Where a third party is involved, e.g. a payer of contributions who is different from the applicant, the identity of that person must also be verified, and a confirmation provided.
2. This form cannot be used to verify the identity of any applicant that falls into one of the following categories:
 - Those exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
 - Those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations;
 - Those who have been subject to Simplified Due Diligence under the Money Laundering Regulations; or
 - Those whose identity has been verified using the source of funds as evidence.
3. This must be an original signature or electronic equivalent and should be signed by an FCA Approved Person such as a Director and/or Money Laundering Reporting Officer (MLRO).

Confirmation of Verification of Identity (COVI)

1. The applicant's details (see notes below)

Applicant full name

Current address

Postcode

Previous address
(if changed in the
last three years)

Postcode

Date of birth

Tick 2. Confirmation

I/we confirm that:

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 - b. a PEP or a person known to be a close associate of a PEP;
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- v. The evidence I/we have obtained to verify the identity of the applicant:
 - a. meets the guidance for standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations; OR
 - b. exceeds the standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations (written details of the further verification evidence taken are attached to this confirmation).
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Get in touch

We're here to help

Further Information

Our team are here to support and guide you during this process. Should you require any further assistance, or have any questions, please do not hesitate to get in touch.

If you have any other questions please contact us on **020 3195 3500** or email us at enquiries@stellar-am.com

For further information, please visit www.stellar-am.com

Stellar Asset Management Limited
20 Chapel Street,
Liverpool,
L3 9AG

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