

AiM IHT Service

ADVISED APPLICATION FORM



Application Form

This form is to be used for all applicants. Supplementary forms will be required for ISA applications and any transfers either inside or outside an ISA.

Definitions

Stellar Asset Management Limited - Manager

Third Platform Services Limited - Custodian, Administrator and ISA Manager

Application checklist

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

Personal details to be completed by the applicant(s) and power of attorney where applicable

Bank details to be completed by the applicant(s)

Adviser details to be completed by the adviser

Adviser charges to be completed by both the applicant(s) and the adviser

Declaration to be signed by both the applicant(s) and the adviser

Confirmation of Verification of Identity (COVI) to be completed by the Adviser.

If applicable:

An ISA application form

An ISA transfer form

An ISA APS form

A GIA transfer form

A Suitability Questionnaire - for direct or execution-only applicants

Next steps

Send your completed Application Form and enclosures to:

Stellar AiM IHT Service

Stellar Asset Management Limited

20 Chapel Street

Liverpool L3 9AG

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

Paying by cheque

- ★ Cheques should be made payable to "TPS Re Stellar Client Money".
- ★ Payment should be made by means of a cheque drawn on an account in the name of the applicant.

Paying by bank transfer

- ★ Bank transfers should be made payable to “TPS Re Stellar Client Money”.
- ★ To pay by bank transfer, you will need your client reference number which must be quoted as the reference on any transfer.
- ★ Your client reference number will be sent to you along with the bank details for Third Financial once we have received your application and set up the account.

Please note this Form contains interactive boxes, to help you fill in the Form online. You have the choice of either filling in this 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 Form.

Applicant personal details

Title

Forename(s)

Surname

Address

Postcode

Date of birth

Nationality**

Country of Tax residence*

Town of birth

National Insurance no.

Are you a US citizen or resident in the US for tax purposes? Yes No

Home phone no.

Email address

Employment status

Job title

Mobile phone no.

Income band £0 –£249,999.99 £250,000 – £999,999.99 Over £1 million

Are you, or have you been within the past 12 months, a PEP (politically exposed person)? Yes No

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

** If your nationality is not British or if you hold dual nationality, please contact us before proceeding.

Joint applicant personal details

Title	
Forename(s)	
Surname	
Address	
Postcode	Country of Tax residence*
Date of birth	Town of birth
Nationality**	National Insurance no.

Are you a US citizen or resident in the US for tax purposes? Yes No

Home phone no.	Mobile phone no.
Email address	
Employment status	
Job title	

Income band £0 –£249,999.99 £250,000 – £999,999.99 Over £1 million

Are you, or have you been within the past 12 months, a PEP (politically exposed person)? Yes No

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

** If your nationality is not British or if you hold dual nationality, please contact us before proceeding.

Power of attorney

Is a person with a power of attorney making this application? Yes No

If yes, please provide their name and address:

Title	
Forename(s)	
Surname	
Address	
Postcode	Date of birth
How many powers of attorney are there?	

If there is more than one power of attorney, please provide their 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

Financial situation of applicant(s)

Total Income
(incl. other sources
such as dividends or
rental income)

Total Net Worth

Source of Funds
to be Invested –
e.g. transfer from
previous manager,
proceeds of house
sale, bank account

Source of Total Net
Worth - Please provide
a brief description of
your source of wealth,
e.g. savings, salary,
inheritance, existing
investments, proceeds
from property sale

Bank details

IMPORTANT: as part of the application process, we require details of the applicants' bank accounts.

Applicant

Bank name

Bank address

Postcode

Account name

Account number

Building Society reference

Bank sort code

Joint applicant

Bank name

Bank address

Postcode

Account name

Account number

Building Society reference

Bank sort code

Subscription

Please let us know how you would like to invest in Stellar AiM IHT Service by ticking the relevant boxes below (you may complete more than one).

1. Initial ISA or ISA top-up subscription

I/we would like to invest (Minimum Investment £20,000)

Please complete an ISA Application Form.

Are new funds coming from your personal bank account?

2. ISA Transfer

I wish to make a transfer from an existing ISA(s) of approximately £

Please complete an ISA Application Form and an ISA Transfer Form.

Total investment (1+2) £

3. Initial GIA or GIA top-up subscription

I/we would like to invest (Minimum Investment £40,000)

Please see page 2 of this Application Form for payment details.

Are new funds coming from your personal bank account?

4. GIA Transfer

I wish to make a transfer from an existing GIA(s) of approximately £

Please complete a GIA Transfer Form for each GIA you hold with a different manager.

Total investment (3+4) £

Adviser details

Financial Adviser

Paraplanner

Title

Forename(s)

Surname

Role

Address (if different)

FCA individual reference no.

Postcode

Telephone no.

Email address

Adviser firm details

Registered name

FCA Firm reference no.

Registered address

Postcode

Telephone no.

Authorisation

FCA

PRA

Appointed Representative

Appointed Representative details (if applicable):

Principal Firm name

Principal Firm FCA reference no.

Network details (if applicable):

Network name (if different from Principal)

Network Firm FCA reference no.

Administrator or network details

Name	Role
Address (if different)	
Postcode	Telephone no.
Email	

Please select primary contact for correspondence

Financial Adviser

Paraplanner

Administrator or network

We will provide copies of, or access to, all correspondence and information provided to you regarding your investment, primarily in electronic format, via our portal, which is accessible through our website www.stellar-am.com. Please provide an email address, to allow us to register you for our portal service.

Email

Please provide the bank account details for adviser charges

Account name

Bank sort code

Account number

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

Adviser charges

This is an advised investment Yes

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 quarterly and may sell holdings from your portfolio to facilitate this charge.

This is an execution-only investment Yes

I have not been advised but my intermediary is permitted to receive commission as stated in section 4 in compliance with COBS 2.3A of the FCA Handbook (e.g. execution-only with enhanced services provided). Please provide a reason below.

I agree to these charges

Applicant signature (or power of attorney)

Joint applicant signature (or power of attorney)

Adviser signature

Declaration

By the Applicants

By signing this form, I hereby declare that:

- a) All monies invested or to be invested in the 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 December 2023 as amended from time to time (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 its 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 Custodian, a copy of which is available on request;
- h) I agree to the adviser charges as set out in this Form.
- i) I agree to Stellar and/or the Custodian verifying my details by undertaking an electronic search against a public or privatedatabase and understand that Stellar may use my details in future to meet regulatory obligations;
- j) 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;
- k) I undertake to advise Stellar within 30 days of any change in circumstances which affect my tax residency status or causes the information contained herein to become incorrect or incomplete;
- l) I acknowledge that the information contained in this Application Form and information about me may be provided to HMRC and exchanged with the tax authorities of another country or countries in which the applicant may be tax resident pursuant to inter-governmental agreements to exchange financial account information;
- m) I authorise Stellar to arrange safe-keeping of my cash investments, interest, dividends and any other rights or proceeds from those investments and any other cash; and
- n) I authorise Stellar to manage my investments in the Service in accordance with the Service Agreement;
- o) I consent to personal information obtained in relation to my portfolio being handled by Stellar and its 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 Portfolio 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 Portfolio.

Applicant name

Applicant signature (or power of attorney)

Joint applicant name

Joint applicant signature (or power of attorney)

Date

By the Financial Adviser or 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 2019 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) In respect of advised applications, 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) In respect of advised applications, 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

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

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;
 - 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 Stellar and the Custodian; **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 Stellar and the Custodian placing reliance on me to carry out the appropriate level of due diligence on the applicant.
- vii. I/We will provide immediately on request from Stellar and/or the Custodian (or at the latest within two working days) copies of any identification and verification data and any other relevant documentation on the identity of the applicant or where applicable the beneficial owner;
- viii. I/We will retain copies of the data and documents referred to above for six years beginning on the date of this certificate;
- ix. I am/We are not subject to any disciplinary action or enquiry from the FCA or any other regulator nor do we know of any reason for the institution of such enquiry.

Additional confirmation of verification of identity (COVI)

1. Joint 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

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;
 - 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 Stellar and the Custodian; **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 Stellar and the Custodian placing reliance on me to carry out the appropriate level of due diligence on the applicant.
- vii. I/We will provide immediately on request from Stellar and/or the Custodian (or at the latest within two working days) copies of any identification and verification data and any other relevant documentation on the identity of the applicant or where applicable the beneficial owner;
- viii. I/We will retain copies of the data and documents referred to above for six years beginning on the date of this certificate;
- ix. I am/We are not subject to any disciplinary action or enquiry from the FCA or any other regulator nor do we know of any reason for the institution of such enquiry.

Get in touch

We're here to help

Investors

We recommend you speak to a Financial Adviser in the first instance, as we cannot offer investment or tax advice.

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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