



# Family Trading Companies Service

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Top-Up Application Form

Please note this form can only be used if there are no changes to the investor or adviser details from those submitted on the original application form.

Company name

Amount of additional subscription £

This is an advised investment

Initial adviser charge (fixed amount):  or  %

Ongoing adviser charge  or  %

The initial adviser charge is taken from your investment and paid to your adviser before your funds are 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. Please note that the ongoing charge that you complete above will apply to the whole value of the portfolio and will supersede the rate currently applied, if different.

By signing this form you agree to continue to be bound by the Service Agreement contained in the Terms document, as amended from time to time.

I agree to these charges

Investor name

Investor signature

Joint application name

Joint application signature

Date

Adviser name

Adviser signature

Date

Please tick if the COVI supplied with the original Application Form was signed within the past 12 months. If you are unable to confirm this, please complete the COVI overleaf.

## 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

# Confirmation of Verification of Identity (COVI)

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## 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).

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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](mailto:enquiries@stellar-am.com)**

For further information, please visit **[www.stellar-am.com](http://www.stellar-am.com)**

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Registered in England and Wales No.  
06381679. Stellar Asset Management Limited  
is authorised and regulated by the Financial  
Conduct Authority.

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