

# The Stellar ITS

ADVISED TOP-UP APPLICATION FORM



# Advised Top-up Application Form

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**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 11 of the Brochure.

## 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) Additional investment amount to be completed by the applicant(s)
  - C) Adviser charges to be completed by the adviser
  - D) Payment details to be completed by the applicant(s)
  - E) Declaration to be signed by both the applicant(s) and the adviser
  - F) Confirmation of Verification of Identity (COVI) to be completed by the adviser for each applicant
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## Next steps

Send your completed Application Form and enclosures to:

**The Stellar ITS  
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 form can only be used if there are no changes to the investor or adviser details from those submitted on the original application form.

## A) Applicant(s) personal details

Applicant's Name

### Joint applicant

Joint Applicant's Name

## 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

Surname

Address

Postcode

Date of birth

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) Additional investment amount

I/We would like to invest:                      £

Existing Stellar ITS Reference Number

## C) Adviser charges

Are you part of a network/service provider? 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 on a quarterly basis and may sell holdings from your portfolio to facilitate this charge.

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.

Applicant's signature  
(or power of attorney)

Joint Applicant's signature  
(or power of attorney)

Adviser Company

Adviser Name

Adviser signature

Date

## D) Payment

### By Cheque

Cheques should be made payable to 'WCSL Stellar ITS 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 the following bank account.

Account name: WCSL Stellar ITS Client Account  
Bank: Bank of Scotland plc  
Sort code: 80-20-00  
Account number: 10410965  
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.

# E) 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 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) 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 the Stellar ITS 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 April 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 Custodian 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 inter-governmental 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 Custodian to hold my cash prior to its subscription;
- m) I authorise Stellar to manage my investments in the Stellar ITS in accordance with the Terms and Service Agreement; and
- n) I consent to personal information obtained in relation to my investment being handled by Stellar 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 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 the IHT Companies.
- o) 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

# F) 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

### Tick 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 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 joint applicant's details (see notes below)

Joint applicant full name	
Current address	
Postcode	
Previous address (if changed in the last three years)	
Postcode	Date of birth

## 2. Confirmation

**Tick**    **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 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).





# Get in touch

We're here to help

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

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

Stellar Asset Management Limited  
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