

## Discretionary Fund Manager Authorisation Form

This form is to be used for Clients who:

- are setting up a new platform account and want to invest in a Discretionary Fund Manager (DFM) managed portfolio; or
- have an existing platform account and want to add accounts to a DFM managed portfolio.

Where this form is used by 2 applicants they must have the same DFM and the same access level requirements.

Full DFM name

DFM FCA Ref number

     

Model DFM Charge & access level

A Model DFM will manage a Model Portfolio that the Financial Adviser will link to the account, and will manage the assets within this model and rebalance when required.

 Models  %

The current Model DFM Charges are available direct from your DFM.

Please note, VAT will be added to this figure, where applicable, if not already included.

(If you have different access requirements e.g. Model and Direct, please complete a separate form).

In all cases a fully completed and signed Client Application Form must be received by us before this form can be processed.

Please ensure each applicable section is completed prior to returning this form, via your Financial Adviser, to Client Services, Trimbridge House, Trim Street, Bath BA1 1HB.

Financial Adviser name

Financial Adviser Firm name

Financial Adviser Firm FCA Ref number

     

OR

Direct DFM Charge & access level

A Direct DFM will manage the account on a bespoke basis with the ability to execute single trades directly onto the account.

 Direct Access  (exclusive of VAT) %

Should VAT be added to this figure?  Yes  No

### Applicant Details

Single/First Applicant name:

Platform account reference (if known):

For models **only**, please indicate a Wrapper:

 General Investment  Ascentric Pension  
 ISA/Junior ISA  3rd Party

Provider(s)

Joint Applicant name:

Platform account reference (if known):

Second Applicant name:

Platform account reference (if known):

For models **only**, please indicate a Wrapper:

 General Investment  Ascentric Pension  
 ISA/Junior ISA  3rd Party

Provider(s)

For models **only**, please indicate a Wrapper:

 General Investment  3rd Party

Provider(s)

**Declaration**

- (a) I/We hereby request that my/our Account(s) detailed on this form will be managed by the DFM named on this form on a discretionary basis.
- (b) I/We understand that my/our DFM may periodically conclude that my/our account(s) need updating or rebalancing, or conclude that more frequent changes are needed as a result of extreme market conditions.
- (c) In order to make changes to my/our Account(s), I/we agree that the DFM may instruct Ascentric to buy and sell relevant investments without first consulting me/us.
- (d) I/We acknowledge and accept that Ascentric will proceed to act upon the DFM's instructions without first seeking my/our consent or providing me/us with a personal recommendation and/or a statement confirming suitability.
- (e) I/We confirm that I am/we are happy to proceed on this basis and for the avoidance of doubt, grant permission for those assets and investments linked to my/our DFM managed portfolio to be managed and traded on a discretionary basis.
- (f) I/We understand that the Direct DFM Charge or Model DFM Charge will be deducted monthly from my/our account, and any other charges will be applied as per the Ascentric Charges Schedule.
- (g) I/We have spoken to my/our Financial Adviser and understand that VAT will be added to the Model DFM Charge, where applicable, if not already included.

<b>Applicant name (1) (BLOCK CAPITALS)</b>											
<input type="text"/>											
<b>Applicant signature</b>											
<input type="text"/>											
<b>Date</b>	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

<b>Applicant name (2) (BLOCK CAPITALS)</b>											
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<b>Date</b>	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

