

Stocks and Shares Junior ISA Application Form

An application to open an Ascentric Stocks and Shares Junior ISA for an eligible child under the age of 18 can only be made by a person aged 16 or over. The person aged 16 or over can be the child or a person with parental responsibility who will be the registered contact for the child. The child must be resident in the UK.

A Financial Adviser must be appointed to act on behalf of the account.

Any missing information may result in either a delay in processing or the return of this application. Should you require any assistance with the completion of this form, please contact your Financial Adviser.

Please return this form, via your Financial Adviser, to Ascentric Client Services, Trimbridge House, Trim Street, Bath, BA1 1HB.

Section 1 Account Details

I apply to open a Stocks and Shares Junior ISA and become the registered contact for:

Child's Title

Child's Surname

Child's Forename(s)

Child's Address

Postcode

Child's Date of Birth / /

Country of Residence

Child's National Insurance Number (if they have one)

The child named above will be the beneficial owner of the account investments.

Nationality

If the child has dual nationality or is not a UK National, please complete the following.

Non-UK nationality

If EU: EU National ID Type

National Identifier

If you do not have the child's National Identifier, please mark ✘ here

As the registered contact my details are:

Applicant's Title

Applicant's Surname

Applicant's Forename(s)

Applicant's Permanent Residential Address

Postcode

Correspondence Address (if different to Residential Address)

Postcode

Email

Daytime Telephone

Evening Telephone

Applicant's Date of Birth / /

Existing Client Reference if applicable

Relationship to child

Applicant's National Insurance Number

Nationality

If you have a dual nationality or are not a UK National, please complete the following.

Non-UK nationality

If EU: EU National ID Type

National Identifier

If you do not have your National Identifier, please mark ✘ here

Failure to provide us with the National Insurance Numbers or other National Identifiers of the child and the registered contact will mean you will be unable to trade in Exchange Traded Instruments on our platform.

Section 1.1 Registered Contact Platform Access Rights

What platform access rights should the registered contact have?
Please mark ✘ in the box(es) as appropriate:

If the registered contact requires 'enquiry only' or 'trading access', the registered contact must provide an email address in Section 1.

Please note, if this is a Discretionary Wrapper, as indicated in Section 2, trading access will not be permitted on this account.

If 'No Online Access' is selected, any communications to service the account will be sent to the registered contact by post.

No Online Access

Enquiry Only

Trading Access

Section 1.2 Family Groups

Our Family Group facility enables the Ascentric charges to be based upon the consolidated assets of the group with the charges applied proportionately to each member. To sign up for Family Group charges, all applicants must meet the eligibility criteria described in the Ascentric Terms and Conditions.

Ascentric client reference of immediate family member this account is to be linked to:

Section 2 Stocks and Shares Junior ISA Details

A reserve account can only be opened on applications received with a cheque. Please make cheques payable to **IFDL Client Nominee A/C**.

If a reserve account is required once the account has been set up, please email payments@ascentric.co.uk.

	Cash Received with application	Source of funds (Cheque, BACS, Transfer)	Transfer/Re-registration*		Reserve Account If required, please state the amount applicable	Please mark ✘ in the appropriate box to indicate the Wrapper type	
			Approximate cash to be transferred	Assets to be re-registered		Advisory Wrapper**	Discretionary Wrapper***
Junior ISA	£		£	£			

Do you wish to appoint a Discretionary Fund Manager

*To transfer a Junior ISA or Child Trust Fund to Ascentric please complete the Ascentric Junior ISA/Child Trust Fund Transfer Form.

** Advisory Wrapper - Your registered contact has agreed with your Financial Advisor that they can make investments on your behalf if they approve their advice.

*** Discretionary Wrapper - Your registered contact has agreed with your Financial Adviser that this Wrapper will be managed solely by them, and have provided their consent for them to make all investments on your behalf.

As explained in our Terms and Conditions, Ascentric will act on all of the instructions placed by your Financial Adviser in good faith that they are acting in accordance with their agreement with yourselves.

To speed up the transfer process,
please attach the latest valuation
of the cash/assets to be transferred.

Section 3 Financial Adviser Details

Please select the relevant option by marking **X** in the appropriate box below:

1. Initial Adviser Charge

of investment % &/or fixed amount (applicable per payment in) £

Applies to:

A. Cash Lump Sum

B. Cash Transfers

C. Stock Transfers

N.B. If you do not select your charge options, the percentage you have indicated will be applied to all boxes A to C.

2. Initial Adviser Charge for Regular Contributions

of investment %

Applies to:

A. Regular Contributions

N.B. This charge can be applied on regular contributions (Direct Debits or standing orders).

3. Ongoing Adviser Charge

of investment % &/or annual fixed amount £

Applies to:

A. Collectives (incl. Investment Trusts, ETFs & FTDs)

B. Cash

C. Stocks and Shares

N.B. If you do not select your charge options, the percentage you have indicated will be applied to all boxes A to C.

N.B. Please read below for further information to support charge requests:

- The Initial Adviser Charge must be requested by completing the Online Payments Instruction.
- For Direct Debits, the Initial Adviser Charge for Regular Contributions must be requested via the Direct Debit Instruction form. Alternatively, for standing orders, the Initial Adviser Charge for Regular Contributions must be requested via the Online Payment Instruction Screen.

- Ad Hoc charges must be requested by completing an Ad Hoc Adviser Charge form, available on our website.
- All charges entered on this form will be stored on our system and will be used to validate all charge requests made by you or set up on your behalf to the amounts shown.
- Ongoing Adviser Charges will be deducted monthly in arrears on a pro-rata basis.

Section 3.1 Confirmation of Verification of Identity Certificate

Introduction by an FCA Regulated Firm

Please complete this certificate to confirm your client's identity. This is required by us to meet anti money laundering requirements.

Important Information

- A separate certificate must be completed for each client (e.g. joint holders). If the payments for the client are being made by a third party, the identity of that person must also be verified and confirmation provided in a separate certificate.
- This certificate cannot be used to verify the identity of any client that falls into one of the following categories:
 - those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
 - 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.
- This certificate must carry an original signature.
- We reserve the right to request a copy of the evidence you use to verify the identity of your client.

Part A Private Individual

Name of individual	<input type="text"/>	Individual's previous address*	<input type="text"/>
Individual's current address	<input type="text"/>		<input type="text"/>
	<input type="text"/>		<input type="text"/>
	<input type="text"/>	Postcode	<input type="text"/>
Postcode	<input type="text"/>		
Date of Birth	<input type="text"/>		

*Only complete if the individual has changed address in the last three months.

Part B Confirmation

I/We confirm that the information completed in Part A was obtained by me/us in relation to the client.

Please mark **X** in one box only:

- The evidence I/we have obtained meets the standard requirements which are defined within the guidance for the UK Financial Sector issued by Joint Money Laundering Steering Group (JMLSG); or
- The evidence I/we have obtained exceeds the standard requirements and I/we have attached the further evidence I/we used to verify the identity of my/our client to this form.

Full Name	<input type="text"/>	FCA Individual Reference Number	<input type="text"/>
FCA Firm Reference Number	<input type="text"/>	Authorised Signature (must be signed by the RI)	<input type="text"/>
Registered Individual (RI)	<input type="text"/>	Date	<input type="text"/>

Section 3.2 Financial Adviser Declaration

To be completed by your Financial Adviser.

I hereby confirm that my client(s) has read the following documentation:

- Ascentric Stocks and Shares Junior ISA Terms and Conditions
- Ascentric Stocks and Shares Junior ISA Key Features Document
- Ascentric Terms and Conditions
- Ascentric Charging Schedule

I/We confirm that:

I/We have obtained evidence to verify the identity of my client(s), which meets the standard evidence criteria set out within the guidance for the UK Financial Sector issued by Joint Money Laundering Steering Group. I understand and agree that Ascentric is reliant on me having completed this money laundering check. I also agree to provide you with copies of the ID relied upon should that be required for legal or compliance audit purposes and agree that Ascentric may need to carry a further risk assessment should my client not be physically present for identification purposes and that Ascentric will apply enhanced due diligence checks for politically exposed persons including checks against the HMRC sanctions list.

Please mark in this box if your clients(s) identity was verified without **face-to-face** contact.

N.B. The Registered Individual or Firm Principal/Director must sign and date.

Firm Name

FCA Firm Ref No.

Registered Individual (RI)

FCA Individual Reference Number

Authorised Signature (must be signed by the RI)

Date

Section 4 Declaration

Before signing this declaration you should carefully read the Ascentric Stocks and Shares Junior ISA Terms and Conditions and other documents referred to in these Terms and Conditions such as the Ascentric Stocks and Shares Junior ISA Key Features Document. These documents give you important information about your policy and form the basis of the contract between you and Investment Funds Direct Limited. If there is anything that you do not understand or do not wish to agree to, then please discuss it with your Financial Adviser before signing.

I declare that:

- I am 16 years of age or over;
- I am the child or I have parental responsibility for that child (delete which does not apply);
- I will be the registered contact for the Junior ISA;
- The child is resident in the UK, or is a UK Crown servant, a dependant of a UK Crown servant or is married to/in a civil partnership with a UK Crown servant;
- I have not subscribed and will not subscribe to another Junior ISA of this type for this child;

- I am not aware that this child has another Junior ISA of this type;
- I am not aware of other Junior ISA subscriptions that will result in this child exceeding the annual limit;
- I will not knowingly make subscriptions to a Junior ISA for this child that will result in the subscription limit being exceeded;
- I authorise Investment Funds Direct Limited:
 - to hold the child's subscriptions, Junior ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and cash; and
 - to make on the child's behalf any claims to relief from tax in respect of Junior ISA investments.
- I confirm that my Financial Adviser has authority to deduct their charges as detailed in Section 3; and
- I do/the child does not have a Child Trust Fund account or I am/the child is transferring the Child Trust Fund as part of this application.
- I agree to the Ascentric Stocks and Shares Junior ISA Terms and Conditions.
- I confirm that to the best of my belief the information in this form is true.

Data Protection

As described in our Terms and Conditions, the personal data that you provide to Investment Funds Direct Limited under this Application will be used by us in compliance with our obligations under the Data Protection Act 1998 and (with effect from 25 May 2018) the General Data Protection Regulation (EU Regulation 2016/679), along with applicable legislation amending, supplementing or replacing the General Data Protection Regulation (together, "Applicable Data Protection Law").

Our Privacy Policy explains how personal data will be collected, used and stored by us and will set out further information required to be provided under Applicable Data Protection Law to the individual to whom the personal data relates. Please see our Privacy Policy (which we will update from time to time) for more information. This is available from your Financial Adviser or on the Platform. If you provide us with information about other investors, you confirm that you will pass on a copy of our Privacy Policy to them so that they are aware of how their personal data will be collected, used and stored by us.

Registered Contact Name (Block Capitals)

Registered Contact Signature

Date

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If you are transferring a Junior ISA or Child Trust Fund to us, you will also need to complete the Ascentric Junior ISA/Child Trust Fund Transfer Form, details of which can be found in the "Resources" section on www.ascentric.co.uk.

