

# The Sanlam Portal GIA

## Application form

Application under The Sanlam Portal

Please note in this Application, 'SFS' means Sanlam Financial Services UK Limited which may be used throughout this form.

In certain instances we use 'Sanlam Investments and Pensions' which is a trading name for both Sanlam Life & Pensions UK Limited and Sanlam Financial Services UK Limited.

### Section 1. Personal details

If you have received a personal illustration relating to this application, please enter the number shown at the bottom of that illustration:

**Please complete the relevant section(s) as follows:**

Sections 1a and 1b if the GIA is to form part of an existing trust arrangement.

or

Sections 1b and 1c if you wish to apply an irrevocable designation to your GIA.

or

Section 1b only where none of the above will apply to your GIA.

### Section 1a.

Where the GIA is to be issued to the trustees of an existing trust, please detail:

Name of trust

All the trustees' details must be entered in Section 1b. The original trust deed or a certified copy of the trust deed must be provided, including any amending documents.

**Section 1b.**

**All applicants must complete this section**

Applicant(s) (maximum two applicants allowed, unless trustees are applying for the GIA, in which case the maximum is four):  
Only those applicants/trustees funding the investment need to complete the occupation and annual income details.

**First or sole applicant/trustee**

Title (Mr/Mrs/Miss/Ms/other)	<input type="text"/>	Surname	<input type="text"/>
Forename(s) (in full)	<input type="text"/>		
Date of birth	<input type="text"/>	Male	<input type="checkbox"/> Female <input type="checkbox"/>
Place of birth: City/Town	<input type="text"/>	Country	<input type="text"/>
Permanent residential address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>	Postcode	<input type="text"/>
Telephone	<input type="text"/>		
Email address	<input type="text"/>		

I confirm that I am able to access the internet and agree to view/download copies of the Key Features Document and the Terms and Conditions from the Sanlam website ([www.sanlam.co.uk](http://www.sanlam.co.uk)).

If this is not the case I indicate so by ticking this box and request that copies be sent to me.

Are you a US citizen, resident or passport holder?

Yes  No

Are you a resident for tax purposes outside of the UK?

Yes  No

If you answered 'yes' to either of the above questions, please complete the following details:

Country of Tax Residency	Tax Identification Number
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Employment Status (e.g. employed/self-employed/unemployed/retired)

Occupation (or previous profession where unemployed/retired)

Annual Income Band	<input type="checkbox"/> £0 - £14,999	<input type="checkbox"/> £15,000 - £29,999
	<input type="checkbox"/> £30,000 - £59,999	<input type="checkbox"/> £60,000 - £99,999
	<input type="checkbox"/> £100,000 - £149,999	<input type="checkbox"/> £150,000 +

## Second applicant/trustee

Title (Mr/Mrs/Miss/Ms/other)	<input type="text"/>	Surname	<input type="text"/>		
Forename(s) (in full)	<input type="text"/>				
Date of birth	<input type="text"/>	Male	<input type="checkbox"/>	Female	<input type="checkbox"/>
Place of birth: City/Town	<input type="text"/>	Country	<input type="text"/>		
Permanent residential address	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>	Postcode	<input type="text"/>		
Telephone	<input type="text"/>				
Email address	<input type="text"/>				

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If this is not the case I indicate so by ticking this box and request that copies be sent to me.

Are you a US citizen, resident or passport holder?

Yes  No

Are you a resident for tax purposes outside of the UK?

Yes  No

If you answered 'yes' to either of the above questions, please complete the following details:

Country of Tax Residency

Tax Identification Number

<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Employment Status (e.g. employed/self-employed/unemployed/retired)

Occupation (or previous profession where unemployed/retired)

Annual Income Band	<input type="checkbox"/> £0 - £14,999	<input type="checkbox"/> £15,000 - £29,999
	<input type="checkbox"/> £30,000 - £59,999	<input type="checkbox"/> £60,000 - £99,999
	<input type="checkbox"/> £100,000 - £149,999	<input type="checkbox"/> £150,000 +

**Third trustee**

Title (Mr/Mrs/Miss/Ms/other)	<input type="text"/>	Surname	<input type="text"/>
Forename(s) (in full)	<input type="text"/>		
Date of birth	<input type="text"/>	Male	<input type="checkbox"/> Female <input type="checkbox"/>
Place of birth: City/Town	<input type="text"/>	Country	<input type="text"/>
Permanent residential address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>	Postcode	<input type="text"/>
Telephone	<input type="text"/>		
Email address	<input type="text"/>		

I confirm that I am able to access the internet and agree to view/download copies of the Key Features Document and the Terms and Conditions from the Sanlam website ([www.sanlam.co.uk](http://www.sanlam.co.uk)).

If this is not the case I indicate so by ticking this box and request that copies be sent to me.

Are you a US citizen, resident or passport holder?

Yes  No

Are you a resident for tax purposes outside of the UK?

Yes  No

If you answered 'yes' to either of the above questions, please complete the following details:

Country of Tax Residency	Tax Identification Number
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Employment Status (e.g. employed/self-employed/unemployed/retired)

Occupation (or previous profession where unemployed/retired)

Annual Income Band	<input type="checkbox"/> £0 - £14,999	<input type="checkbox"/> £15,000 - £29,999
	<input type="checkbox"/> £30,000 - £59,999	<input type="checkbox"/> £60,000 - £99,999
	<input type="checkbox"/> £100,000 - £149,999	<input type="checkbox"/> £150,000 +

**Fourth trustee**

Title (Mr/Mrs/Miss/Ms/other)	<input type="text"/>	Surname	<input type="text"/>
Forename(s) (in full)	<input type="text"/>		
Date of birth	<input type="text"/>	Male	<input type="checkbox"/> Female <input type="checkbox"/>
Place of birth: City/Town	<input type="text"/>	Country	<input type="text"/>
Permanent residential address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>	Postcode	<input type="text"/>
Telephone	<input type="text"/>		
Email address	<input type="text"/>		

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If this is not the case I indicate so by ticking this box and request that copies be sent to me.

Are you a US citizen, resident or passport holder?

Yes  No

Are you a resident for tax purposes outside of the UK?

Yes  No

If you answered 'yes' to either of the above questions, please complete the following details:

Country of Tax Residency

Tax Identification Number

<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

Employment Status (e.g. employed/self-employed/unemployed/retired)

Occupation (or previous profession where unemployed/retired)

Annual Income Band	<input type="checkbox"/> £0 - £14,999	<input type="checkbox"/> £15,000 - £29,999
	<input type="checkbox"/> £30,000 - £59,999	<input type="checkbox"/> £60,000 - £99,999
	<input type="checkbox"/> £100,000 - £149,999	<input type="checkbox"/> £150,000 +

**Section 1c.**

**Where you wish to apply an irrevocable designation to your GIA please complete this section.**

Please complete the details below. Verification of identity will be required for each designated person.

**Details of Designated Person**

Title (Mr/Mrs/Miss/Ms/other)	<input type="text"/>	Surname	<input type="text"/>
Forename(s) (in full)	<input type="text"/>		
Date of birth	<input type="text"/>	Male	<input type="checkbox"/> Female <input type="checkbox"/>
Place of birth: City/Town	<input type="text"/>	Country	<input type="text"/>
Permanent residential address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>	Postcode	<input type="text"/>
Telephone	<input type="text"/>		
Email address	<input type="text"/>		

Are you a US citizen, resident or passport holder? Yes  No

Are you a resident for tax purposes outside of the UK? Yes  No

If you answered 'yes' to either of the above questions, please complete the following details:

Country of Tax Residency	Tax Identification Number
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

**Details of Designated Person**

Title (Mr/Mrs/Miss/Ms/other)	<input type="text"/>	Surname	<input type="text"/>
Forename(s) (in full)	<input type="text"/>		
Date of birth	<input type="text"/>	Male	<input type="checkbox"/> Female <input type="checkbox"/>
Place of birth: City/Town	<input type="text"/>	Country	<input type="text"/>
Permanent residential address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>	Postcode	<input type="text"/>
Telephone	<input type="text"/>		
Email address	<input type="text"/>		

Are you a US citizen, resident or passport holder? Yes  No

Are you a resident for tax purposes outside of the UK? Yes  No

If you answered 'yes' to either of the above questions, please complete the following details:

Country of Tax Residency


Tax Identification Number


**Please note:** an irrevocable designation will create a bare trust in favour of the designated person(s) above and cannot be changed once it has been accepted.

The designation may also change the individual who would otherwise be assessed for the purposes of income tax or capital gains tax.

If you wish to appoint more than two persons please photocopy this page.

## Section 2. Investment details

### Section 2a. Amount paid

How much do you wish to pay?

**Single payment:**

£
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**IMPORTANT:** Any Initial Adviser Fees you agree to pay to your Financial Adviser as detailed in Section 8 of this application, will be deducted from the single payment before the residual amount (the "investment") is invested in your GIA.

Please make any cheques payable to 'Sanlam Financial Services UK Limited'. For Bank or Building Society cheques, please ask for the Bank/Building Society to print your name(s) on the cheque to confirm the source of funds.

For an electronic transfer please instruct your bank/building society to send the payment to:

**Account Name: Sanlam Financial Services UK Limited CMA**

**Sort Code: 20-13-42**

**Account Number: 70514543**

**Bank: Barclays**

Please note that if the payer of the investment is not an Applicant or Trustee, verification will also be required of their identity and address.

**Regular Payment:**

£
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**Important:** Any Initial Adviser Fees you agree to pay your Financial Adviser as detailed in Section 8 of this application, will be deducted from the regular payment once it has been invested in the GIA.

**Frequency of regular payments**

monthly  quarterly  half-yearly  annually

Please select the date you would like your direct debit to collect on: (1st to 28th)

--

Please note that if no date is specified we will collect on the anniversary of the commencement date.

Please complete the Direct Debit Instruction that appears at the end of this application.

## Section 2b. Transfer details

Do you have an existing GIA with another provider that you wish to transfer to Sanlam?

Yes  No

If you have answered yes, please complete the transfer authority at the back of this application. If you wish to make more than one transfer, please print off a copy for each individual transfer.

Will the transfer payment be comprised entirely of cash?

Yes  No

Where assets are being transferred in-specie and we do not offer the current share class for one or more of the assets, would you like us to arrange to convert the asset/s to share class we do offer, prior to the transfer?

Yes  No

Where assets are being transferred in-specie and we offer a discounted share class for incoming assets, would you like us to convert the assets to our discounted share class?

Yes  No

For further information about in-specie transfers please refer to <http://www.sanlam.co.uk/document-repository/useful-forms/2135-in-specie-transfer-guide>.

**IMPORTANT:** All assets to be transferred in-specie need to be checked to determine that the assets can be transferred and Sanlam can hold the assets. If these checks have not been done, please call 03330 155 600 before proceeding

**Section 4 does not need to be completed if assets are being transferred in-specie.**

## Section 2b. Source of funds

Please provide details of the bank/building society account used to make your investment. If your investment is being provided by a bank or building society transfer/cheque, please provide details of the personal account/other investment from which the money was drawn.

Name(s) of account holder(s)

Account/roll number

Sort code

Name of bank/building society

Address

Postcode



**Section 2c. Source of investment**

What is the source of wealth in relation to your investment? This section only applies to the applicants/trustees funding the investment.

<b>Tick all boxes which may apply:</b>	1st or Sole Applicant/Trustee	2nd Applicant/Trustee	3rd Trustee	4th Trustee
Accumulated savings from employment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Retirement Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Inheritance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sale of property/asset	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Company sale	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sale/maturity of existing investments*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Gift	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Divorce Settlement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compensation Payment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lottery or betting win	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

\*Please specify further details on how the funds were originally accumulated.

**Please note:** If the investment amount is greater than £150,000 we may require further information.

If from a third party please explain the circumstances:

## Section 2d. Investment options

Please select one of the following investment options:

Model Portfolio Service  Go to Option One below

or

Select Fund Service  Go to Option Two below

Please note that irrespective of your investment choice, an appropriate amount of your investment will be held in a cash facility at any one time for the purposes of paying any due charges, Adviser Fees and withdrawals.

### Option One: Model Portfolio Service

Model Portfolio Name

Appointed Portfolio Manager

Please note that under the Model Portfolio Service, 100% of your GIA will be subject to this service. You may not request that the Model Portfolio Service should apply to only a part of your GIA.

Your Declaration regarding the Model Portfolio Service:

#### I declare that:

- my/our Financial Adviser as identified in this application form, has recommended to me/us that my/our GIA be invested in the selected Model Portfolio and the above Portfolio Manager has been appointed on my/our behalf to manage the Model Portfolio on a discretionary basis;
- I/We accept such recommendation and such appointment;
- I/We authorise you to act on notice from my/our Financial Adviser to switch from one Model Portfolio to another Model Portfolio that may apply to me from time to time;
- I/We accept that as long as the Model Portfolio Service applies to my/our GIA, all investment decisions and instructions regarding the assets that may be allocated to my/our GIA, such as the type, range or diversification of assets and the appropriate proportions of such assets will be made and issued exclusively by the above Portfolio Manager or by such replacement Portfolio Manager as my/our Financial Adviser may (or SFS as the case may be) appoint on my behalf from time to time;
- I/We accept that as long as the Model Portfolio Service applies to my/our GIA, I/we will not be allowed to instruct you to switch between assets as may be allowed under the terms and conditions of my/our GIA, nor may I/we choose any alternative assets to be allocated to my/our GIA.

### Option Two: Select Fund Service

Only complete this section if you have not selected the Model Portfolio Service above.

Please select from the funds that are available through the Sanlam Portal. For more details, please see our website [www.sanlam.co.uk](http://www.sanlam.co.uk)

Fund name	Accumulation or income shares	Investment %
<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"/> %
<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"/> %
<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"/> %
<input type="text"/>	<input type="text"/>	<input type="text"/> %
Total		<input type="text"/> 100%

**Notes:** You should ensure you have received the most up to date Key Investors Information Document (KIID) in respect of your chosen funds where available.

The KIID is produced by the fund manager and where available can be obtained from your Financial Adviser.

### Section 3. Regular withdrawals

Complete this section only if you wish to take regular withdrawals from your GIA. Your regular withdrawals will be taken proportionally across all assets in which you are invested at any time. There are three types of withdrawal options: income sweep, fixed withdrawal and percentage withdrawal.

Please select one option and complete the details for the type of withdrawals you require:

**1. Income Sweep:** (i.e. distribution of all income generated by the assets)

The income will be paid at the end of each frequency period selected, subject to the amount available meeting the minimum payment amount stated below. If no frequency is selected income will be paid monthly, subject to the minimum payment amount.

Please note that not all investments produce an income. Please discuss with your Financial Adviser.

or

**2. Fixed withdrawal amount of:**

£  per annum

or

**3. Withdrawals of:** (i.e. an annual % of your GIA value)

% per annum

The minimum payment amount (for all of the above options) is £50.

**Frequency** (please complete where you have selected options 1, 2 or 3)

How often would you like the withdrawals to be paid? monthly  quarterly  half-yearly  annually

In which month do you wish the withdrawals to commence:

**Payment date** (Please complete where you have selected option 2 or 3)

Please select on which day of the month you wish the withdrawals to be paid: 6th  14th  21st  28th

**To enable your withdrawals to be paid, please provide your bank/building society details below**

Name of bank/building society	<input type="text"/>		
Address	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/>	Postcode	<input type="text"/>
Account/roll number	<input type="text"/>	Sort code	<input type="text"/>
Name(s) of account holder(s)	<input type="text"/>		
	<input type="text"/>		

**Section 4. Transfer to your Sanlam Portal ISA**

**This section only applies to individual applicants and not to trustees.**

Complete this section only if you wish to withdraw money from your GIA for investment into your Sanlam Portal ISA each year. Please note that this instruction will take effect from the next tax year.

**First Applicant**

1. Sanlam Portal ISA details:

If you already have a Sanlam Portal ISA, please write the ISA number here:

or  
If you are in the process of applying for a Sanlam Portal ISA please tick here

2. Please indicate how much you wish to withdraw from your GIA and invest in your Sanlam Portal ISA:

Percentage of maximum ISA allowance \*  %

or  
Fixed Amount \*  £

\*Do you require any cash ISA subscriptions to be deducted from either of the amounts shown above? Yes  No

If yes please confirm the amount  £

## Second Applicant

1. Sanlam Portal ISA details:

If you already have a Sanlam Portal ISA, please write the ISA number here:

or

If you are in the process of applying for a Sanlam Portal ISA please tick here

2. Please indicate how much you wish to withdraw from your GIA and invest in your Sanlam Portal ISA:

Percentage of maximum ISA allowance

\*  %

or

Fixed Amount

\*  £

\*Do you require any cash ISA subscriptions to be deducted from either of the amounts shown above?

Yes  No

If yes please confirm the amount

£

**Note:** If any other ISA subscriptions have been received, or are expected to be received by the end of the relevant tax year, some or all of the total expected subscriptions will be deducted as necessary to ensure that the overall ISA maximum is not exceeded.

## Declaration

### I/We agree that:

- a. I/We wish to withdraw from my/our GIA and subscribe to my/our individual Sanlam Portal ISA(s).
- b. The transaction will take place annually within a reasonable period after the 6th April and will continue for each subsequent tax year until I/we advise otherwise.
- c. The withdrawal will be taken proportionally across all the Assets in which I am/we are invested at any time.
- d. The sale of Assets for the withdrawal may result in a capital gains liability.
- e. There may be a time delay from when the Assets are sold to when they are re-invested in my Sanlam Portal ISA. The length of this delay will be dependent upon the Assets in which I am/we are invested. This may expose me to market price fluctuations and where I am re-investing in the same Assets I may not necessarily have the same number of units as I originally held.
- f. If the Assets are sold under the GIA the sale proceeds will be subject to deductions on account of charges or other outstanding debits in accordance with the Terms and Conditions.
- g. The minimum value which must be retained in my/our GIA is £1,000. If it would appear that less than this amount may remain within the GIA following the processing of my/our Sanlam Portal ISA transfer(s), SFS reserve the right to refuse my/our instruction to action the withdrawal and SFS may close my/our GIA.
- h. For GIA where there is more than one applicant; we each confirm that we are making an outright gift to the recipient and will have no entitlement (either directly or indirectly) to any ISA which is not held in my name.
- i. I/We authorise SFS to carry out the instructions in this form.
- j. I/We understand that the instructions will be carried out subject to the Terms and Conditions of the Sanlam Portal.

First Applicant Signature

Second Applicant Signature

## Section 5. Power of Attorney

Where there is a Power of Attorney please complete this section. If there are additional attorneys please provide full details on a separate sheet and attach to the application form.

Please complete the details below and provide the original Power of Attorney, or a copy certified as a true copy and verification of identity for each attorney.

Title (Mr/Mrs/Miss/Ms/other)	<input type="text"/>	Surname	<input type="text"/>		
Forename(s) (in full)	<input type="text"/>				
Date of birth	<input type="text"/>	Male	<input type="checkbox"/>	Female	<input type="checkbox"/>
Full postal address	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>	Postcode	<input type="text"/>		

Title (Mr/Mrs/Miss/Ms/other)	<input type="text"/>	Surname	<input type="text"/>		
Forename(s) (in full)	<input type="text"/>				
Date of birth	<input type="text"/>	Male	<input type="checkbox"/>	Female	<input type="checkbox"/>
Full postal Address	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>	Postcode	<input type="text"/>		

## Section 6. Client money arrangements

Money received by Sanlam Financial Services UK Limited (SFS) for your GIA will be deposited no later than the next business day after receipt. It will be deposited with our bankers, currently Barclays Bank Plc, in a designated client money account in SFS' name. Please note you will not receive interest on money held by us prior to establishing your GIA.

Please refer to the Sanlam Portal Key Features document for more detail.

## Section 7. Data Protection

In the course of providing our products and services we will receive information from and about you. Sanlam Life & Pensions UK Limited and Sanlam Financial Services UK Limited are each regarded as a data controller within the meaning of the applicable data protection laws including, but not limited to, the General Data Protection Regulation (Regulation EU 2016/679) which means we are responsible for deciding how we hold and use your personal data. We summarise the key aspects of our privacy statement below however please see our Sanlam Privacy Statement which is available from us, your Adviser, your usual Sanlam contact and via our website [www.sanlam.co.uk](http://www.sanlam.co.uk).

If you would like a written copy please write to Data Protection, Sanlam, One Temple Quay, 1 Temple Back East, Bristol, BS1 6DZ, or you can also contact us by email at [clientservices@sanlam.co.uk](mailto:clientservices@sanlam.co.uk), or by telephone on 03330 155 600, Monday to Friday between 9am to 5pm (excluding Bank Holidays).

It is important that you understand how we use your personal data before you decide to contract with us.

The Sanlam Privacy Statement explains how we will use your personal data, which will usually be:

- to perform the contract we have entered into with you;
- to comply with a legal obligation;
- where it is necessary for our legitimate interests (or those of a third party) and your interests and fundamental rights do not override those interests;
- where we have obtained your explicit written consent to do so..

The Sanlam Privacy Statement also explains:

- the kind of personal data we may hold about you, including sensitive (or 'special') personal data such as health information, if applicable;
- how we may collect your personal data, including where we may receive it from third parties;
- when and why might we share your personal data with third parties including third party service providers, other Sanlam group companies and regulatory authorities;
- the conditions under which we transfer personal data outside the EEA to ensure the ongoing security of your personal data;
- how long we will retain your information for, or the criteria we apply to determine any retention periods; and
- your rights in connection with personal data, including your right to complain.

#### Confirmation

**By entering into this arrangement with us you acknowledge you have received and read the Sanlam Privacy Statement and if you provide personal data (including sensitive personal data) about someone else, you confirm you are authorised to do so.**

#### Marketing Consent

We take your privacy seriously and will only use your personal information to administer your account and to provide the products and services you have requested from us.

However, from time to time we would like to send you market updates and investment news by post and/or email. If you consent to us contacting you for this purpose please confirm below how you would like us to contact you.

#### First/sole applicant/trustee

If you consent to us contacting you for marketing purposes please tick below to say how you would like us to contact you.

**Post**  **Email**  **Both**

Please tick below if you would also like to receive our bi-annual client magazine "Wealthsmiths". Wealthsmiths includes market commentary, articles on current investment trends and topics we think you may find useful.

**"Wealthsmiths" Magazine (by post only)**

If you have consented to receive marketing updates and investment news above, please also let us know if you would like to receive similar communications from other Sanlam group companies, as listed in Section 16 of the Sanlam Privacy Statement:

You may withdraw your consent at any time by contacting [clientservices@sanlam.co.uk](mailto:clientservices@sanlam.co.uk).

#### Second applicant/trustee

If you consent to us contacting you for marketing purposes please tick below to say how you would like us to contact you.

**Post**  **Email**  **Both**

Please tick below if you would also like to receive our bi-annual client magazine "Wealthsmiths". Wealthsmiths includes market commentary, articles on current investment trends and topics we think you may find useful.

**"Wealthsmiths" Magazine (by post only)**

If you have consented to receive marketing updates and investment news above, please also let us know if you would like to receive similar communications from other Sanlam group companies, as listed in Section 16 of the Sanlam Privacy Statement:

You may withdraw your consent at any time by contacting [clientservices@sanlam.co.uk](mailto:clientservices@sanlam.co.uk).

### Third trustee

If you consent to us contacting you for marketing purposes please tick below to say how you would like us to contact you.

Post  Email  Both

Please tick below if you would also like to receive our bi-annual client magazine "Wealthsmiths". Wealthsmiths includes market commentary, articles on current investment trends and topics we think you may find useful.

"Wealthsmiths" Magazine (by post only)

If you have consented to receive marketing updates and investment news above, please also let us know if you would like to receive similar communications from other Sanlam group companies, as listed in Section 16 of the Sanlam Privacy Statement:

You may withdraw your consent at any time by contacting [clientservices@sanlam.co.uk](mailto:clientservices@sanlam.co.uk).

### Fourth trustee

If you consent to us contacting you for marketing purposes please tick below to say how you would like us to contact you.

Post  Email  Both

Please tick below if you would also like to receive our bi-annual client magazine "Wealthsmiths". Wealthsmiths includes market commentary, articles on current investment trends and topics we think you may find useful.

"Wealthsmiths" Magazine (by post only)

If you have consented to receive marketing updates and investment news above, please also let us know if you would like to receive similar communications from other Sanlam group companies, as listed in Section 16 of the Sanlam Privacy Statement:

You may withdraw your consent at any time by contacting [clientservices@sanlam.co.uk](mailto:clientservices@sanlam.co.uk).

If you need further information, please write to us at Client Services, One Temple Quay, 1 Temple Back East, Bristol, BS1 6DZ.

## Section 8. Adviser Fees instruction

This section needs to be completed if payment of Adviser Fees is to be facilitated from the GIA.

### Initial Adviser Fee

The Initial Adviser Fee payable to the Financial Adviser may be facilitated from:

- Single contributions, and/or
- Regular contributions.

#### (a) Initial Adviser Fee to be facilitated from single contribution:

Amount  or % of amount paid

#### (b) Initial Adviser Fee to be facilitated from regular contributions:

Amount  of each regular contribution (maximum 50%),  
to be paid in  instalments, resulting in a total Initial Adviser Fee of

This will be facilitated in line with the frequency of the contributions paid:

- Monthly, there will be a maximum of 24 Adviser Fees.
- Quarterly, there will be a maximum of 8 Adviser Fees.
- Half Yearly, there will be a maximum of 4 Adviser Fees.
- Annually, there will be a maximum of 2 Adviser Fees.



**Notes:**

- Initial Adviser Fees are linked to a specific number of contributions and the actual timespan will continue for as long as it takes the client to pay those contributions.
- If a contribution is subsequently refunded or is not honoured, the Initial Adviser Fee will be recovered.

**Ongoing Adviser Fee**

Ongoing Adviser Fees will be calculated as a percentage of the fund value as determined in the Terms and Conditions. Please indicate the fee percentage agreed below:

% per annum Payment frequency: Monthly  Quarterly

(paid according to the frequency selected)

**Applicant's Declaration and Authority to pay Adviser Fees**

- I/We authorise Sanlam Investments and Pensions to pay the Adviser Fees detailed above to my/our Financial Adviser whose details are provided in Section 10.
- I/We confirm that:
  - I/We have discussed with my/our Financial Adviser and understood the Adviser Fees that will be paid and the effect these will have on my/our GIA;
  - I/We have received a Key Features document and illustration relating to this application
- I/We understand that:
  - if any further Adviser Fees are to be paid I/we will be required to authorise these before they are paid from my/our GIA or any other product with Sanlam Investments and Pensions;
  - any Initial Adviser Fees will be paid in accordance with the instruction set out in this Section;
  - any Ongoing Adviser Fees paid over a period of time will be calculated as an annual percentage of the fund value at each calendar month end or calendar quarter end, divided according to the payment frequency selected;
  - I/We may instruct Sanlam Investments and Pensions in writing to cease payment of Adviser Fees at any time provided they receive not less than 5 working days notice before the payment is due;
  - if I/we pay and subsequently cancel a single contribution to my/our GIA, the amount to be refunded to me/us will be net of the initial Adviser Fee agreed above;
  - if I/we wish to vary the amount of Adviser Fees to be paid from my/our GIA, I/we must give Sanlam Investments and Pensions prior written notice not less than 5 working days before any payment due date and any subsequent variations will only be allowed at the frequency permitted from time to time;
  - if I/we change my/our Financial Adviser, I/we must advise Sanlam Investments and Pensions in writing and that any Adviser Fees being paid to the Financial Adviser whose details are provided in Section 10 will normally cease. If Initial Adviser Fees are being facilitated from regular subscriptions these Adviser Fees will continue to be paid to the original Financial Adviser unless I/ we notify Sanlam Investments and Pensions in writing that such payments should cease; and
  - it is my/our responsibility to pay Adviser Fees I/we have agreed with my/our Financial Adviser and this responsibility remains with me/us if I/we cancel or vary the instruction to facilitate payment of Adviser Fees from my/our GIA.
- I/We acknowledge that it will be my/our responsibility to recover any payments made to my/our Financial Adviser before any instruction to cease payment takes effect.

## Section 9. Declaration

1. I/We apply for a GIA under the terms of the Sanlam Portal.
2. I/We understand that Sanlam Investments and Pensions can only provide services to me/us and make the Sanlam Portal available if I/we have appointed a Financial Adviser.
3. I/We understand that my/our Financial Adviser must be registered with Sanlam Investments and Pensions and accept the Terms of Business for Intermediaries in order to operate the Sanlam Portal on my/our behalf.
4. I/We understand that if I/we wish to change my/our Financial Adviser I/we must do so by advising you in writing. I/we must provide details of my/our new Financial Adviser and Sanlam Investments and Pensions will let me/us know if they are able to deal with my/our new Financial Adviser as soon as they can. If my/our new Financial Adviser is not acceptable to Sanlam Investments and Pensions or if I am/we are unable to appoint a new Financial Adviser, I/we will have to leave the Sanlam Portal and make alternative arrangements for my/our GIA.
5. I/We understand because of the way in which the Sanlam Portal is structured I/we may only appoint one Financial Adviser to act on my/our behalf in respect of the Sanlam Portal.
6. I/We understand that during any periods that I/we use the services and/or hold cash and/or Assets through the Sanlam Portal without a Financial Adviser as mentioned above, I/we will not be able to buy or sell any Assets. I/We understand that any instructions received by you during this period will not be processed and will be returned to me/us. I/We do however acknowledge that Sanlam Investments and Pensions reserve the right to action any such instructions at their discretion.
7. If I/we have chosen the Model Portfolio Service as an investment option, I/we affirm each of the declarations made in respect of the Model Portfolio Service as stated in the relevant section above of this application form.
8. I/We authorise SFS to appoint Sanlam Private Investments (UK) Ltd on my/our behalf as Custodian of my/our investments or such other custodian as SFS may nominate from time to time, and to communicate all instructions to the Custodian as necessary for the purposes of my/our GIA investments.
9. I/We authorise SFS to hold my/our cash payments, interest, dividends and any other rights or proceeds in respect of these investments and any other cash.
10. I/We understand that a GIA may attract income tax and capital gains tax and the amount of tax payable will depend on my/our individual circumstances.
11. I/We have read and retained the Key Features document and illustration (as applicable) relating to this application and I have been given the opportunity to raise any questions I may have concerning their content.
12. I/We have read and agree to the Client Money Arrangements described in Section 6.
13. I/we confirm that in applying for this GIA, I/we are acting on the advice of a regulated adviser and not relying on any advice from Sanlam Investments and Pensions or any of its employees or representatives.
14. Where I/we have agreed that Adviser Fees are to be facilitated from my/our GIA, as set out in Section 8 of this application, I/we acknowledge and agree the Declaration and Authority stated in that section.
15. I/We have accessed and been given the opportunity to read the current Sanlam Portal General and GIA Terms and Conditions. I/We have been given the opportunity to have any questions concerning the Terms answered to my/our satisfaction, and I/we agree to the Terms.
16. I/We declare that this application form has been completed to the best of my/our knowledge and belief and where my answers are not filled in by me/us I/we have read them over and confirm that they are correct and I/we agree that this application shall form the basis of the contract.
17. I am/We are aged 18 years or over.

**If this application and declaration are being signed on behalf of a person:** (please tick which is applicable)

- who is under age 18; or
- who is incapable by reason of mental disorder of managing and administering of his/her property or affairs; or
- suffering from physical disability by reason of which he/she has difficulty executing documents in respect of the management and administration of his/her property and affairs;

the person signing it declares that, to the best of his/her knowledge and belief, all the information provided in Section 1 is accurate and complete, all other information given and statements made in the application are correct and complete, and all of the declarations made in the application are correct, and undertakes the obligations falling to the applicant including giving our consent to disclosing the sensitive personal data of the person referred to herein. I understand that I may be required to provide further information relating to my status in completing this application. I confirm I am authorised to provide the information in this form. I further confirm I have read the Sanlam Privacy Statement which explains how personal data will be processed.

Date

Signature of first/sole applicant/trustee

Signature of second applicant/trustee

Signature of third trustee

Signature of fourth trustee

**A copy of the completed application form is available on request.**

**Section 10. Financial Adviser's declaration**

**A. Where Adviser Fees are being facilitated from the General Investment Account, I confirm that:**

- I have discussed and agreed the Adviser Fees detailed in Section 8 with the applicant(s)/trustee(s);
- I have provided the applicant(s)/trustee(s) with a Key Features document and illustration in relation to this application and the Sanlam Privacy Statement;
- I have read and understood the Guide to Adviser Charging for Financial Advisers.

**B. I confirm that:**

- In recommending the Sanlam Portal the applicant(s)/trustee(s) fully understands and accepts that this service can only be operated by me, the appointed Financial Adviser, and that my instructions in relation to the Sanlam Portal and/or the GIA are binding upon the applicant(s)/trustee(s).
- I acknowledge and accept Sanlam Investments and Pensions' current Terms of Business.
- The advice in connection with this application has been provided on the following basis (please tick the relevant box): Advised  or Non-advised

'Advised' is where advice has been given in relation to the application.  
'Non-advised' is where no advice has been given i.e. execution only basis.

**C. Confirmation of verification of identity for private individual(s)**

Before you complete the following please read the Important Notes at the end of this section.

By completing this section we will assume your consent has been given for us to rely on your verification of identity obtained. If you do not consent to this, please inform us immediately and do not complete the details of the individual.

**Details of Individual(s)/Trustee(s)**

**Full name of first/  
sole applicant/trustee**

Address

 Date of birth  Postcode 

Previous address if applicant/trustee has changed address in the last three months

 Postcode 

**Full name of second applicant/  
designated person**

Address

 Date of birth  Postcode 

Previous address if applicant/trustee/designated person has changed address in the last three months

 Postcode

**Full name of third trustee/  
designated person**

Date of birth

Address

Postcode

Previous address if trustee/designated person has changed address in the last three months

Postcode

**Full name of fourth trustee/  
designated person**

Date of birth

Address

Postcode

Previous address if trustee/designated person has changed address in the last three months

Postcode

- I have verified the identity of the client(s) in line with the UK Money Laundering regulations.
- The information in this form was obtained by me in relation to the client(s).
- The evidence I have obtained to verify the identity of the client(s) meets the standard evidence set out within the current guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group (JMLSG).
- I confirm that I hold the appropriate documentary evidence to support the identification of the client and that Sanlam Investments and Pensions retain the right to request sight(s) of the underlying evidence.

Signature

Date

Name

Firm reference number

Position

Name of regulated firm

Address

Postcode

Contact number

Email

Sanlam agency number

**Important notes:**

For the verification of any third party payers or attorneys please use the standard 'Confirmation of Verification of Identity' forms provided within the JMLSG Part 1 Guidance.

This form cannot be used to verify the identity of any client who falls into one of the following categories:

- Those exempt from verification as being a current client of the introducing firm before 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 UK Money Laundering Regulations.
- Those whose identity has been verified using the source of funds as evidence.

Where the application is being made on behalf of an individual who cannot make the application him/herself because of incapacity, an Identity Verification Certificate is required for both the attorney/guardian and also the person on whose behalf the attorney/guardian is acting and, if different, for the person making the investment..

**Section 11. Direct Debit instruction**

**Please fill in the enclosed Direct Debit Instruction and return to Sanlam Investments and Pensions. Please retain the Direct Debit Guarantee.**

Sanlam & Sanlam Investments and Pensions are trading names of Sanlam Life & Pensions UK Limited (SLP (Registered in England and Wales 980142)) and Sanlam Financial Services UK Limited (SFS (Registered in England and Wales 2354894)). SLP is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. SFS is authorised and regulated by the Financial Conduct Authority.  
Registered Office: Monument Place, 24 Monument Street, London, EC3R 8AJ.

[enq@sanlam.co.uk](mailto:enq@sanlam.co.uk)

[sanlam.co.uk](http://sanlam.co.uk)



## Instruction to your Bank or Building Society to pay Direct Debits

Please complete all sections in BLOCK CAPITALS using BLACK INK

Please return the whole form to:

Sanlam Investments and Pensions, One Temple Quay, 1 Temple Back East, Bristol, BS1 6DZ

### 1. Name & full postal address of your bank or building society branch

Service User Number

9	7	0	2	0	0
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To: The Manager
Bank or Building Society
Address
Postcode

### 5. Reference No.

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(for office use only)

### 6. Instruction to your bank or building society.

Please pay Sanlam Financial Services UK Limited Direct Debits from my account detailed on this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with Sanlam Financial Services UK Limited and, if so, details will be passed electronically to my bank or building society.

### 2. Name(s) of account holder(s)

--

### 3. Branch sort code

(from the top right-hand corner of your cheque)

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### 4. Bank or building society account number

--	--	--	--	--	--	--	--	--	--

Signature(s):

--

Date:

Banks and building societies may not accept Direct Debit instructions for some types of account



## The Direct Debit Guarantee

- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit Sanlam Financial Services UK Limited will notify you at least ten working days in advance of your account being debited or as otherwise agreed. If you request Sanlam Financial Services UK Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit by Sanlam Financial Services UK Limited or your bank or building society you are entitled to a full and immediate refund of the amount paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when Sanlam Financial Services UK Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.

**This guarantee should be detached and retained by the payer.**





## Transfer Authority

Estimated transfer value

Any Initial Adviser Fees you agree to pay to your Financial Adviser, as detailed in Section 9 of this application, will be deducted before the transfer value is applied to your ISA.

Please complete this form but do not detach it. We will forward it to your existing ISA manager. If you wish to make more than one transfer, please copy this section for each individual transfer.

### Your existing ISA details:

ISA manager's name

Address

Postcode

Account or reference number(s) of the ISA(s) you wish to transfer

Please state what you wish to transfer by ticking the appropriate box or boxes:

**The whole of my:**

Stocks and Shares ISA

Cash ISA

Innovative Finance ISA

### Note:

By completing this Transfer authority you are agreeing to transfer the entire existing ISA which may be comprised of subscriptions paid in the current tax year, previous tax years or both current and previous tax years.

### Please sign the authority below:

I consent to you as my existing ISA manager giving Sanlam Financial Services UK Limited full details of my ISA(s).

I authorise you to sell my ISA investments on receipt of this form to the extent necessary to make the transfer and to send the proceeds (including uninvested cash that applied to the ISA(s) I am transferring) to 'Sanlam Financial Services UK Limited'.

I request that you transfer any payments, dividends, and any other rights subsequently received in respect of the ISA(s) I am transferring to 'Sanlam Financial Services UK Limited'.

Full name

Signature:

Date