



# The Sanlam Onshore Bond Top Up Form (available via an investment platform)

If the investments in your Sanlam Onshore Bond is being managed via an investment wrap platform, please identify the platform below:

## Section 1: Personal details

Your existing account number

**First or sole applicant/trustee**

Title (Mr/Mrs/Miss/Ms/other)

Surname

Forename(s)

**First or sole applicant/trustee**

Are you a US citizen, resident or passport holder?

Yes  No

Are you a resident outside the UK for tax purposes?

Yes  No

If yes to either of the above, please complete the following:

Country of tax residence

Tax identification number

**Second applicant/trustee**

Title (Mr/Mrs/Miss/Ms/other)

Surname

Forename(s)

Are you a US citizen, resident or passport holder?

Yes  No

Are you a resident outside the UK for tax purposes?

Yes  No

If yes to either of the above, please complete the following:

Country of tax residence

Tax identification number



**Third trustee**

Title (Mr/Mrs/Miss/Ms/other)  Surname

Forename(s)

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

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

If yes to either of the above, please complete the following:

Country of tax residence

Tax identification number

**Fourth trustee**

Title (Mr/Mrs/Miss/Ms/other)  Surname

Forename(s)

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

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

If yes to either of the above, please complete the following:

Country of tax residence

Tax identification number

## Section 2: Payments

1) Lump Sum top-up  £

**IMPORTANT:** Any Initial Adviser Fees you agree to pay to your Financial Adviser, as detailed in Section 4 of this application will be deducted from the amount paid before the remaining balance will be invested.

Please make any cheques payable to 'Sanlam Financial Services UK Limited' or 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**

For Bank or Building Society cheques, please ask the Bank/Building Society to print your name on the cheque to confirm the source of funds.



## Section 3: Investment options

### 3a: Payment information

Any new payments will be invested subject to the option selected on your original Sanlam Onshore Bond application i.e. by your Financial Adviser acting for you on an advisory basis, or managed on a full discretionary basis by the Investment Manager stated in your original application or any subsequently nominated Investment Manager.

### Section 3b: 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)

Sort Code  Account/Roll Number

Bank/Building Society Address

Postcode

### Section 3c: 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. Tick all boxes which may apply:

	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.

If the investment amount is greater than £250,000 we may require further information. If from a third party please explain the circumstances:

## Section 4: Adviser Fees instruction

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

### Initial Adviser Fee

Payment of Initial Adviser Fees will be facilitated as either a specified amount or as a percentage of the amount paid.

Amount	<input type="text" value="£"/>
or % of single payment	<input type="text" value=""/> %

### Ongoing Adviser Fee - Onshore Bond

Payment of Ongoing Adviser Fees can be facilitated as a specified amount or a percentage of the fund value as determined in the Terms and Conditions. Please indicate the fee percentage agreed:

<input type="text" value="£"/>	per annum	Payment frequency: Monthly <input type="checkbox"/>	Quarterly <input type="checkbox"/>
or			
<input type="text" value=""/> %	per annum	Payment frequency: Monthly <input type="checkbox"/>	Quarterly <input type="checkbox"/>

**Note:** Ongoing Adviser Fees are treated as withdrawals from your bond for tax purposes. If the amount withdrawn exceeds the cumulative tax deferred allowance available, a chargeable event will occur which may result in additional tax liability. The allowance accrues at 5% of the premiums paid per annum, over a period of 20 years.

If you wish to change the Ongoing Adviser Fees for the existing investment please complete an Adviser Fee Instruction Form, available on our website.

#### 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 6.



**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 **Portal Product**.

**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 Sanlam Onshore Bond;
- any Initial Adviser Fees will be paid in accordance with the instruction set out in this Section;
- any Ongoing Adviser Fees expressed as a percentage, 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 Ongoing 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 payment to my/our **Sanlam Onshore Bond**, 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 **Sanlam Onshore Bond**, 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 6 will normally cease. If Initial Adviser Fees are being facilitated from regular payments 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 Adviser Fee payments should cease.
- 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 **Sanlam Onshore Bond**.
- I/we acknowledge 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 5: Declaration

**Your declaration to Sanlam Investments and Pensions:**

- I/we apply to pay the payments detailed in Section 2 of this application by way of a top-up to my/our existing **Sanlam Onshore Bond**;
- I/we have received, read and retained the Product Guide document, relevant Terms and Conditions and illustrations (as applicable), along with a Key Information Document and associated underlying Key Investor Information Document(s) (as applicable) relating to this application and I/we have been given the opportunity to raise any questions I/we may have concerning their contents. Any questions have been answered to my/our satisfaction and I/we agree to the terms.

**I/We understand that:**

- My/our payments will be invested in accordance with my/our existing instructions unless I/we advise Sanlam Investments and Pensions otherwise.



**I/We confirm that:**

- I/we understand taxation law can change and that Sanlam Investment and Pensions can provide no guarantee as to the taxation treatment of the **Sanlam Onshore Bond** in the future. I/we understand future tax changes may be retrospective and I am / we are responsible for obtaining my/our own advice;
- In applying for this top-up, I/we am/are acting on the advice of a regulated Financial Adviser and I/we am/are not relying on any advice from Sanlam Investments and Pensions or any of its employees or representatives.
- I/we declare that this application form has been completed to the best of my/our knowledge and belief and where any answers are not filled in by me/us in my/our own writing I/we have read them and confirm that they are correct and I/we agree that this application shall form the basis of the contract.
- I/we understand that in accordance with Money Laundering Regulations, you may need to use credit reference/information agencies in order to check any identity and address. These agencies may keep a record of this enquiry.
- Where I/we have agreed that Adviser Fees are to be facilitated from my/our **Sanlam Onshore Bond**, as set out in Section 4 of this application, I/we acknowledge and agree the Declaration and Authority stated in that section.
- I/we agree that my/our personal data (including any sensitive data) may be used for the purpose described in my/our original **Sanlam Onshore Bond** application.

Signature of first/sole applicant/trustee

Date

Signature of second applicant/trustee

Date

Signature of third trustee

Date

Signature of fourth trustee

Date

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

**An application and declaration may be signed by a person legally appointed or authorised to act on behalf of the applicant only if the applicant is:** (please tick which is applicable)

incapable by reason of mental disorder of managing and administering his/her property or affairs; or

suffering from a physical disability, illness or old age by reason of which he/she has difficulty executing documents in respect of the management and administration of his/her property and affairs.



Where you are signing this form in the capacity of the applicant's Attorney we will require either the original Power of Attorney, or a certified true copy, if this has not been previously given to us.

The person signing 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, whether in my/our hand writing or not, and undertakes the obligations falling to the applicant. I/we understand that I/we may be required to provide further information relating to my/our status in completing this application.

## Section 6: Financial Adviser's Declaration

I confirm that:-

- In recommending the Sanlam Onshore Bond my client 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 Onshore Bond and/or the relevant product are binding upon my client.
- I acknowledge and accept Sanlam Investments and Pensions' current Terms of Business for Intermediaries.
- I have previously verified the identity of my client.
- I am appropriately authorised to conduct this type of business.
- This application has been submitted 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.

Signature	<input type="text"/>	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
Name	<input type="text"/>	Firm reference number	<input type="text"/>		
Position	<input type="text"/>				
Name of regulated firm	<input type="text"/>				
Address	<input type="text"/>				
	<input type="text"/>				
	<input type="text"/>	Postcode	<input type="text"/>		
Contact number	<input type="text"/>				
Email	<input type="text"/>				
Agency number	<input type="text"/>				



Wealth

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

