

## Dealing account

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# Application form for registered pension schemes, set up under trust

This form lets the trustees of a UK-registered pension scheme apply for an AJ Bell Youinvest Dealing account.

If you're applying for a Dealing account on behalf of a Small Self-Administered Scheme (SSAS), keep in mind that we can only accept a scheme with a corporate trustee that is registered with HMRC.

You should read the AJ Bell Youinvest Dealing account terms and conditions before completing this application.

Please use BLOCK CAPITALS only and blue or black ink, ticking the boxes where appropriate.

If you would like a copy of this, or any other item of our literature, in large print, Braille or in audio format, please contact us on 0345 54 32 600 or by email at [enquiry@youinvest.co.uk](mailto:enquiry@youinvest.co.uk).

Once completed please return the form to us at the address below.

AJ Bell Youinvest  
4 Exchange Quay  
Salford Quays  
Manchester  
M5 3EE

### Pension scheme details

Full name of the pension scheme

  

Pension Scheme Tax Reference (PSTR)

**Please enclose a copy of the trust deed and rules governing the scheme.**

If applying for a SSAS please provide:

Legal Entity Identifier (LEI)

If the SSAS doesn't yet have a LEI, it can be applied for by visiting [lseg.com/LEI](http://lseg.com/LEI). Please obtain the LEI before sending this form to us as we won't be able to process the application if this is missing.

## Details of individual trustees

### First individual trustee

Title

Dr / Mr / Mrs / Miss / Ms / Other

Surname

Forename(s)

Date of birth

National Insurance number

Permanent residential address

Postcode

Country

Telephone number

(If phone number is non-UK, provide full dialling code)

Date of birth

Is this trustee also a member of the pension scheme?

Yes

No

**If the trustee has been resident at this address for less than three years, please provide their previous address(es) on a separate sheet of paper and attach it to this application.**

### Second individual trustee

Title

Dr / Mr / Mrs / Miss / Ms / Other

Surname

Forename(s)

Date of birth

National Insurance number

Permanent residential address

Postcode

Country

Telephone number

(If phone number is non-UK, provide full dialling code)

Date of birth

Is this trustee also a member of the pension scheme?

Yes

No

**If the trustee has been resident at this address for less than three years, please provide their previous address(es) on a separate sheet of paper and attach it to this application.**

### Third individual trustee

Title

Surname

Forename(s)

Date of birth

National Insurance number

Permanent residential address

Postcode

Country

Telephone number

(If phone number is non-UK, provide full dialling code)

Date of birth

Is this trustee also a member of the pension scheme?

Yes

No

**If the trustee has been resident at this address for less than three years, please provide their previous address(es) on a separate sheet of paper and attach it to this application.**

### Fourth individual trustee

Title

Surname

Forename(s)

Date of birth

National Insurance number

Permanent residential address

  

Postcode

Country

Telephone number

(If phone number is non-UK, provide full dialling code)

Date of birth

Is this trustee also a member of the pension scheme?

Yes

No

**If the trustee has been resident at this address for less than three years, please provide their previous address(es) on a separate sheet of paper and attach it to this application.**

**If there are more than four trustees, please provide details of the other trustees on a separate sheet and attach to this application.**

## Corporate trustee

Name of company

Registered address

Postcode

Country

Operating address (if different from above)

Postcode

Country

Company registration number

Country of registration/incorporation

Telephone number

(If phone number is non-UK, provide full dialling code)

Please provide a copy of the authorised signatory mandate for the corporate trustee. This information is not required if the corporate trustee is an AJ Bell group company.

## Details of scheme administrator

Name of company/individual

If the scheme administrator's address is different to the corporate trustee's, then please complete the address below:

Registered address

Postcode

Country

Telephone number

(If phone number is non-UK, provide full dialling code)

Email address

## Details of pension scheme members

Please provide details of any individual who is a pension scheme member but who is not a trustee. (For example a SIPP member who is not a co-trustee of their individual SIPP arrangement.)

### First additional pension scheme member

Title

Surname

Forename(s)

Date of birth

National Insurance number

Permanent residential address

Postcode

Country

Telephone number

(If phone number is non-UK, provide full dialling code)

If the additional pension scheme member has been resident at the address shown for less than three years, please provide their previous address on a separate sheet of paper and attach it to this application.

## Second additional pension scheme member

Title

Surname

Forename(s)

Date of birth

National Insurance number

Permanent residential address

Postcode

Country

Telephone number

(If phone number is non-UK, provide full dialling code)

If the additional pension scheme member has been resident at the address shown for less than three years, please provide their previous address on a separate sheet of paper and attach it to this application.

If there are more than two additional pension scheme members, please provide details of the other members on a separate sheet and attach to this application.

## Nominated contact

Please let us know who you would like to be your nominated point of contact for your Dealing account. This will be an individual trustee or a pension scheme member. You authorise us to provide all statements, copy documents and requests for instructions to this individual, who will be responsible for onward communication to, and providing instructions to us on behalf of, the trustees and members.

The nominated contact will need to have their own individual AJ Bell Youinvest account to allow online access to the registered pension scheme Dealing account for dealing purposes. Please confirm their personal account number in the box below. Communications with the nominated contact will usually be by email or secure message.

Please tick one box below to indicate who is to be the nominated contact:

Individual trustee

Name

Pension scheme member

Name

Individual AJ Bell Youinvest account number for the nominated contact

## Funding your Dealing account

Please confirm which of the following options you wish to use to fund the account, ticking the appropriate box and inserting the amount of the payment to be made. Payments must be made from an account in the name of the pension scheme, the corporate trustee or the scheme administrator.

**Single payment of** £

A cheque made payable to 'AJ Bell Youinvest Dealing account re the pension scheme's name' (e.g. AJ Bell Youinvest Dealing account re XYZ Pension Scheme) is enclosed with this application form.

**Regular payment of** £  **to be made monthly.**

A completed Dealing account Direct Debit mandate is enclosed with this application form.

**In specie transfer from an existing Dealing account with another provider.**

**The approximate value of this account is** £

You will need to complete a 'Dealing account transfer form for SIPP and SSAS'. Please contact us to request this form if you wish to undertake this.

## Payment details

In order to make cash withdrawals from your Dealing account, please provide AJ Bell Youinvest with details of the bank or building society account into which you would like the monies to be paid. This must be in the name of the pension scheme, the corporate trustee or the scheme administrator.

Account holder's name

Bank/building society account number

Sort code

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## Declarations and applications

**Please read the following carefully before you sign.**

I/we declare that:

1. I am/we are aged 18 years, or over, and resident in the UK.
2. The declarations and information contained in this form are true, correct, complete and not misleading to the best of my/our knowledge and belief, and I/we undertake to notify AJ Bell Youinvest of any changes without delay.
3. I/we confirm that I/we have been recommended and given the opportunity to read, ensure that I/we understand and keep copies of the AJ Bell Youinvest Dealing account terms and conditions and charges and rates and I/we understand that the details contained in those documents and this application constitute the agreement between me/us and AJ Bell Youinvest.
4. All payments made, and to be made, to the AJ Bell Youinvest Dealing account, are paid out of money and assets held under the pension scheme named on page one.
5. The pension scheme applying for this account is registered with Her Majesty's Revenue and Customs under Chapter 2 Part 4 of Finance Act 2004. As such, it will be a non-reporting Financial Institution under the International Tax Compliance Regulations 2015 and the International Tax Compliance (Crown Dependencies and Gibraltar) Regulations 2014 as amended by the International Tax Compliance (Crown Dependencies and Gibraltar) (Amendments) Regulations 2015, as amended from time to time.

I/we confirm that the trust deed and rules governing the operation of the pension scheme named on page one give me/us the power to establish a Dealing account with AJ Bell Youinvest and I/we declare that I/we will operate the AJ Bell Youinvest Dealing account in accordance with the trust deed and rules (as amended from time to time) and, in particular, I/we will not instruct the making of any investment which is not permitted by the trust deed and rules.

I/we confirm that AJ Bell Youinvest is authorised to:

- a. Make whatever checks are necessary to verify my/our identity and the identity of the pension scheme as required to comply with the Money Laundering Regulations.
- b. Provide information to the nominated contact shown above on behalf of the trustees and to accept instructions given by the nominated contact as if they had been given by all of the trustees, without the need to obtain any further authority or make any further enquiry, including instructions for the purchase and sale of, or otherwise dealing on, investments and instructions for cash withdrawals (which may only be made to an account in the name of the pension scheme trustees).

I/we will inform AJ Bell Youinvest as soon as it is reasonably possible if there is a change in the trustees or I/we wish to change the nominated contact.

## Data privacy statement

We'll use the information you provide to check your identity – and the identity of anyone else who funds an investment made in your name – with credit reference and fraud prevention agencies. These agencies will record our checks and will make that record available so others are able to verify your identity.

So we can thoroughly check the available data, we verify your identity using scoring methods. If you supply false or inaccurate information and we suspect fraud, we'll inform the fraud prevention agencies.

If we can't verify your identity by electronic means, we may ask you for additional information.

Depending how the data has been processed, and subject to some exemptions, you have a number of legal rights about your personal information. These include:

- To access personal information
- To rectify/erase personal information
- To restrict the processing of your personal information
- To transfer your personal information
- To object to the processing of personal information
- To object to how we use your personal information for direct marketing purposes
- To obtain a copy of personal information safeguards used for transfers outside your jurisdiction
- To lodge a complaint with your local supervisory authority

To exercise these rights (or request details of the credit reference and fraud prevention agencies from which we obtain information and record information about you), please contact us. For more information see our privacy policy.

## How we communicate with you

Being a DIY investor is all about staying up to date. The good news is: we can help you.

AJ Bell Youinvest would like to send you emails and other electronic communications to help you on your investing journey. Not only can you expect weekly market news and free articles from Shares magazine, but you'll be the first to hear about exclusive customer offers – including regular prize draws and invites to our popular investing events.

If you receive anything you don't like, don't worry: you can manage the type of communications you receive and unsubscribe at any time by updating your communications preferences in the 'my account area' of our website.

**I/we would like to receive communications including investment updates, weekly market news, exclusive customer offers and free content from Shares magazine.**

Yes

No



This application must be signed and dated by all of the trustees. For the corporate trustee, the application must be signed by two directors or authorised signatories. If the corporate trustee has a signing mandate, please provide a copy.

### Individual trustees of the pension scheme

Name  Date

Signature

Name  Date

Signature

Name  Date

Signature

Name  Date

Signature

### Corporate trustee

Name  Position

Signature  Date

Name  Position

Signature  Date

For and on behalf of