Pilling & Co Stockbrokers Ltd

NEW SIPP FORM

Title ☐ First Names (in full) ☐

Surname ☐ Your Pilling A/C number ☐

Permanent Residential Address

Postcode

You must supply an email address to receive your statements, valuations, contracts and newsletters on line. Instructions will be sent to this email address on how to set up your Client Web Access (CWA). If you do not have access to a computer or an email address, paper versions are available by ticking this box. ☐

Email

Tel Work:- Home: - Mobile: -

Only complete the following if you are a new SIPP client or you need to update your details

Your Bank details for payments to you.

Bank

Sort Code

A/C No. *8 digits only*

Customer ref (if applicable)

Do you have a National Insurance Number?

Yes ☐ No ☐ If Yes, you must enter it below

You can find your NI number from a payslip, form p45 or p60, a letter from HMRC or the DWP, or a pension book

☐☐ ☐☐☐☐☐☐ ☐

Date of Birth DD/MM/YYYY

Please provide two different forms of identification, one from list A, and a second from either list:

List A

Valid full UK passport (or certified copy)*
Valid full UK driving Licence (or certified copy)*
Recent evidence of entitlement to a state or local authority-funded benefit
HMRC demand/statement/notification

List B

Current council tax demand letter or statement
Current bank statement (not printed off the internet)
Current credit/debit card statement (not printed off the internet)
Utility bill from the last 3 months (not printed off the internet)

*Certified copies must be signed by a professional person such as solicitor, accountant, GP or teacher, etc.

How will you fund your SIPP?

☐ Contribution

☐ Cash Transfer of Existing Pension (Number of Schemes, if appropriate) ☐

☐ In specie Transfer of Existing Pension (Number of Schemes, if appropriate) ☐

Authority for 3rd party to give instructions

I agree that (Agent) ☐ can instruct Pilling & Co to give dealing, corporate action, cash movement and settlement instructions for this account.

Signed Client Name

Agent FCA Number ☐

Agent VAT Number ☐

Agent Stamp

Agents must also complete Pilling & Co Indirect Clients - Supplementary Terms of Business form in order to become registered agents

Money

I / We authorise Pilling & Co to hold my cash (such as dividends, interest and proceeds from sales) in a deposit style account held with a FCA approved bank. I understand that if I were to have overseas investments my money may be deposited in non-UK jurisdictions where my rights and protections may be reduced.

Custody

I / We authorise Pilling & Co to hold my investments and register them in the name of St Anns Square Nominees Limited or a nominated sub-custodian subject to a written agreement with Pilling & Co, I understand that if I were to have assets in non-UK jurisdictions my rights and protections may be reduced and there may not be separate identification of investments.

I / We confirm that I am not a US person, resident or green card holder. If you are resident for tax purposes in a country other than the UK* please tell us here

*UK in this definition excludes Isle of Man, Jersey, Guernsey, Gibraltar and other Crown dependencies.

I / We understand and agree to Pilling & Co's General Terms & Conditions and SIPP account Terms & Conditions

Signed Date

SIPP Transfer Advice Disclosure

As you are probably well aware investing in pensions can be complicated with lots of considerations to make. Clients also need to consider lots of factors particularly when transferring a pension from one provider to another.

We would like to draw your attention to the comment made in our SIPP Terms and conditions, when asked do we give pension transfer advice. **"Under no circumstances** is Pilling & Co ever responsible for advising you on the suitability of transferring existing schemes into our SIPP. This decision is your own and transfers are, **without exception**, accepted on this basis."

With this is mind we would be grateful if you would sign to acknowledge that you understand the above and confirm from who you have taken advice from, before requesting the transfer of existing pension schemes to us.

I confirm that I have taken advice

Advisor name and address

Or

I have not taken advice regarding my request to transfer existing pension schemes to a SIPP with Pilling & Co. I understand that I take full responsibility for the decision to transfer pension(s) and I cannot hold Pilling & Co liable in any way should the transfer(s) not be in my best interests or I lose benefits from a pension scheme I transfer from.

Signed Date