

Pension scheme application

Investment manager/adviser firm name

Full name of pension scheme

Existing account number(s) if applicable

Pension Scheme Tax Reference (PSTR)

If you do not have a PSTR, please explain why.

Address

Postcode Country

Telephone number (If number is non-UK, state full dialling code and country)

Country of residence

Investment decision maker

Legal entity Identifier (LEI) SSAS only

Do you intend to invest in overseas securities? Yes No

Form W-8BEN-E (for non-US applicants) for investment in US securities Enclosed Previously supplied N/A

Form NR302 or NR303 for investment in Canadian securities Enclosed Previously supplied N/A

Scheme administrator details

Company/individual name

Address

Postcode Country

Telephone number (If number is non-UK, state full dialling code and country)

Private individual's (member/trustee) details

Pension scheme name

The following details must be provided for **EACH** private individual. Please copy and complete this sheet as many times as required.

The individual is:

a member only

a trustee only

both a member and a trustee

Title

Full name

Permanent residential address

Postcode

Country

Telephone number

(If number is non-UK, state full dialling code and country)

Email address

Date of birth

Country of birth

Nationality

Country

NPI/NINO

Countries of residence for tax purposes – please list **ALL** relevant countries below

Country

Tax ID number*

Tax ID type (e.g. NINO, TIN, SSN)

*If you do not have a Tax ID number for any of the countries listed, please explain why.

I am

the person named above

a trustee signing on behalf of the person named above

Signature

Date

Corporate trustee details

Pension scheme name

The following details must be provided for the corporate trustee.

Full name of corporate trustee

Registered address

Postcode

Country

Country of registration

Operating address (if different from above)

Postcode

Country

Telephone number

(If number is non-UK, state full dialling code and country)

Company registration number

Company registration/incorporation

Automatic Exchange of Information (AEOI)

As a Financial Institution, AJ Bell Securities Limited is subject to UK regulations regarding international tax compliance, most notably in relation to the US Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS).

A pension scheme is considered an 'entity' under these regulations, and different types of entity are classified in different ways.

An account provider must identify an entity's classification when the account is first opened, and in some cases it may subsequently be required to report details of accounts held, or controlled, by certain persons outside the UK to Her Majesty's Revenue & Customs (HMRC) depending on the classification.

Entity classification

Please tick the classification below that applies to you. If your pension scheme does not fall under one of these and you know the classification, please enter it in the section marked 'Other'. If you do not know how the pension scheme should be classified, further information can be obtained from <https://www.gov.uk/guidance/automatic-exchange-of-information-introduction>.

UK pension scheme: Registered with HMRC under Part 4 of the Finance Act 2004

SIPP Exempt Beneficial Owner

SSAS Exempt Beneficial Owner

I/we understand that for UK-registered pension schemes you will treat the pension scheme as an Exempt Beneficial Owner for the purpose of FATCA and an Excluded Account for the purpose of the CRS, as permitted under The International Tax Compliance Regulations 2015 and The International Tax Compliance (Crown Dependencies & Gibraltar) Regulations 2014 as amended from time to time, meaning the GIA is exempt from reporting requirements.

Unregistered UK pension scheme – please provide details and entity classification

Pension scheme entity classification

Non UK pension scheme – please provide details and entity classification

Non UK pension scheme entity classification

Other scheme – please provide details and entity classification

Scheme entity classification

Pension scheme declaration

The information provided in this application and in any other supporting documentation is, to the best of my knowledge and belief, correct, complete and not misleading.

I confirm that I am authorised to sign on behalf of the pension scheme named on page 1.

I am aware that you may be obliged to share this information with UK tax authorities, who may pass it on to other relevant tax authorities.

The pension scheme named on page 1 undertakes to notify the investment manager/adviser firm of any changes to the information provided on this form without delay.

Print name

Capacity

Signature

Date

Investment manager/adviser firm declaration

The information provided in this application and in any other supporting documentation is, to the best of my knowledge and belief, correct, complete and not misleading.

I confirm that I am in possession of the original self-certification and any supporting documents. Where there have been any indications of reportable data, these documents (or certified copies) have been provided to AJ Bell Securities Limited.

I confirm that self-certification has been made on behalf of the pension scheme named on page 1.

I confirm that I will notify you of any changes to the information provided on this form without delay.

We have undertaken a suitability assessment and the charity/not-for-profit organisation named in this form can /cannot be classed as a suitable investor in Complex Financial Instruments.

Name of contact for this application

Name of authorising manager (1)

Signature

Date

Name of authorising manager (2) if required

Signature

Date