

New Business Submission Form

Date

Introducing adviser /
firm details

Client Information

Client name(s)

DOB

National Insurance
Number

Address

Postcode

Country of birth

Telephone number

Email address

Client Bank Account Details:

Name on account

Account number

Sort code

New Business - Account Details - SIPP

Amount to invest

Cash Transfer Stock Transfer Cash Deposit

Provider Details:

Name

Contact name

Address

Postcode

Account number/ pension
scheme tax reference

Bank Account Details:

Name on account

Sort Code

Account number

Fees:

DFM fee agreed
with client

Initial adviser fee (%)

Ongoing adviser fee (%)

Adviser fee paid

Monthly Quarterly Annually

Commission and
management fee to
be deducted from
alternate account

Yes No (if yes please specify which account this is to be taken from)

Fees to be deducted from account

MAIA Investment Solution:

	Core % Weight	Core Focused % Weight	Beta % Weight	Beta Focused % Weight
Absolute Return	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Balanced Income	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Balanced	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Growth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Adventurous	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Income Requirements:

Add income to
capital account

Yes No

Pay income to client
Detail amount & frequency

New Business - Account Details - ISA

Amount to invest

Cash Transfer Stock Transfer Cash Deposit

Provider Details:

Name

Contact name

Address

Postcode

Account number/ pension
scheme tax reference

Fees:

DFM fee agreed
with client

Initial adviser fee (%)

Ongoing adviser fee (%)

Adviser fee paid

Monthly Quarterly Annually

Commission and
management fee to
be deducted from
alternate account

Yes No (if yes please specify which account this is to be taken from)

Fees to be deducted from account

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	Core % Weight	Core Focused % Weight	Beta % Weight	Beta Focused % Weight
Absolute Return	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Balanced Income	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Balanced	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Growth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Adventurous	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Income Requirements:

Add income to
capital account

Yes No

Pay income to client
Detail amount & frequency

New Business - Account Details - GIA

Amount to invest

Cash Transfer Stock Transfer Cash Deposit

Provider Details:

Name

Contact name

Address

Postcode

Account number/ pension
scheme tax reference

Fees:

DFM fee agreed
with client

Initial adviser fee (%)

Ongoing adviser fee (%)

Adviser fee paid

Monthly Quarterly Annually

Commission and
management fee to
be deducted from
alternate account

Yes No (if yes please specify which account this is to be taken from)

Fees to be deducted from account

MAIA Investment Solution:

	Core % Weight	Core Focused % Weight	Beta % Weight	Beta Focused % Weight
Absolute Return	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Balanced Income	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Balanced	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Growth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Adventurous	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Income Requirements:

Add income to
capital account

Yes No

Pay income to client
Detail amount & frequency

New Business - Account Details - OPB

Amount to invest

Cash Transfer Stock Transfer Cash Deposit

Provider Details:

Name Contact name

Address

Postcode Account number/ pension scheme tax reference

Bank Account Details:

Name on account Account number

Sort Code

Fees:

DFM fee agreed with client

Initial adviser fee (%)

Ongoing adviser fee (%)

Adviser fee paid Monthly Quarterly Annually

Commission and management fee to be deducted from alternate account Yes No (if yes please specify which account this is to be taken from)

Fees to be deducted from account

MAIA Investment Solution:

	Core % Weight	Core Focused % Weight	Beta % Weight	Beta Focused % Weight
Absolute Return	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Balanced Income	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Balanced	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Growth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Adventurous	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Income Requirements:

Add income to capital account Yes No

Pay income to client Detail amount & frequency

Client internet log
in required for
online valuations Yes No

Link to IFA
internet valuation Yes No

We have undertaken a suitability assessment and all person(s) or entity names in
this form can be classed as a suitable investor(s) in complex financial instruments.

Can Cannot

Account opening letter Send to client only
 Send to IFA only
 Send to IFA and client

Advisor name

Advisor signature