



# APPLICATION FOR A COLLECTIVE INVESTMENT ACCOUNT (CIA)

- for lump sum, direct debit, cash transfer and re-registered investments
- Individual or joint applicants

## WITH THIS FORM YOU CAN:

- invest in a new CIA
- top up an existing CIA.

It **cannot** be used for:

- our **Managed Portfolio Service (MPS)** – this service is only available online through financial advisers to investors on Charge Basis 3. For new or top-up investments into the MPS, please speak to your financial adviser.
- corporate, trust or pension scheme applicants, for which there is a separate form, available from your financial adviser.

## NOTE

- **Your financial adviser can apply for you online**, in which case we do not require a paper application too because we will only use the information submitted online.
- **Key Investor Information Document (KIID)**  
Before you apply you must have received a KIID in respect of each of the funds you choose to invest in, where available. KIIDs are produced by the fund managers and made available by Old Mutual Wealth. You can obtain them from your financial adviser, or by visiting our website [www.oldmutualwealth.co.uk/kiid](http://www.oldmutualwealth.co.uk/kiid) where you can find out more.
- Complete this form carefully; errors or omissions by you or your financial adviser will not be corrected retrospectively.

This application contains 7 pages. The supplementary pages included at the back **only need to be completed where relevant**, they are:

- **Section 10** – Direct Debit Instruction
- **Section 11** – Third party payer details
- **Section 12** – Power of Attorney
- **Transfer authority**

## TAX INFORMATION

Under Exchange of Information regulations we are required to obtain various details of our investors, including where they were born, their nationalities, countries of tax residence\* and related tax identification numbers\*\* - section 1 of this form is where you can provide this information. We also need to obtain 'a self-certification' that the information provided is true and complete - this is contained in the declaration in section 8.

We may have to provide this information to HMRC who may share it with overseas tax authorities. We may contact you for further information if required.

### \*Country of tax residence

Normally you are resident for taxation in the country in which you spend the majority of your time each year. However, some countries (eg the United States) may also treat an individual as resident for taxation based on their nationality or citizenship. As tax residence is determined by the country in which tax is paid, it is possible to be tax resident in more than one country.

### \*\*Tax identification number (TIN)

If your country of tax residence is the UK or the Isle of Man your TIN is your National Insurance number. If it is Guernsey, Jersey or Gibraltar it is your Social Security Number. If you are a US national/tax resident it is your US Tax Identification Number.

- For help to work out where you are tax resident, or if you are unsure about your TIN, please consult your financial adviser or the information at [www.oecd.org/tax/automatic-exchange](http://www.oecd.org/tax/automatic-exchange).
- If you are unsure what information to include, please consult your financial adviser.

Please tick/complete this form as applicable using BLOCK CAPITALS and blue or black ink.

## 1 YOUR DETAILS

Type of investment  New account  Top up into this account number

Have you received financial advice for this application?  Yes  No  
 If yes, on what basis was the advice given? (your financial adviser will help you answer this)  Restricted  Independent

### FIRST APPLICANT'S DETAILS

Client reference number, if known

Title  Mr  Mrs  Miss  Other (please specify)

Surname

Full forename(s)

Date of birth (dd/mm/yyyy)       National Insurance number       If you have never been issued with a National Insurance number, tick here

Permanent UK residential address  Postcode

Town/City of birth  Country of birth

Correspondence address (if different from residential address)  Postcode

Telephone number (in case of query)  E-mail address

Nationality(ies)	Country(ies) of tax residence	Tax identification number(s) (TIN)	Reason for no TIN (if applicable)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

### JOINT APPLICANT DETAILS (if applicable)

**Second applicant** ► if there are more than two applicants, please provide the same details for each additional applicant on a separate page.

Client reference number, if known

Title  Mr  Mrs  Miss  Other (please specify)

Surname

Full forename(s)

Date of birth (dd/mm/yyyy)       National Insurance number       If you have never been issued with a National Insurance number, tick here

Permanent UK residential address  Postcode

Town/City of birth  Country of birth

Correspondence address (if different from residential address)  Postcode

Contact telephone number (in case of query)  E-mail address

Nationality(ies)	Country(ies) of tax residence	Tax identification number(s) (TIN)	Reason for no TIN (if applicable)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

## 2 DESIGNATED ACCOUNT DETAILS ► *if applicable*

If you want to apply a designation to your Collective Investment Account (CIA), state the required designation below.

Designation:

Tick one of the following to indicate the type of designation required:

**Irrevocable designation**

You must complete and enclose a CIA Designated Account Form before we can apply the designation, available from [www.oldmutualwealth.co.uk](http://www.oldmutualwealth.co.uk). You should note:

1. An irrevocable designation creates a bare or absolute trust in favour of the designated person(s).
2. An irrevocable designation **cannot be changed** after the CIA has been set up.
3. The designation may change which person is assessed for income tax or capital gains tax.

If in doubt about whether an irrevocable designation should be applied, please consult your financial adviser.

**Revocable designation**

You do not need to complete an additional form to apply this type of designation.

The designation will be treated merely as a label to help you identify your CIA and will have no legal effect. It can be changed or removed with your written authorisation.

**NOTE**

If you have entered a designation above, have not ticked one of the options and do not enclose a CIA Designated Account Form, we will assume the designation is IRREVOCABLE and send you the form for completion.

## 3 INVESTMENT DETAILS *(and adviser initial fees if required)*

**CIA lump sum investment** £  Initial fee: £  OR:  % of the lump sum

Payment method

Cheque number

**please enclose cheque payable to Old Mutual Wealth Limited**

Electronic bank transfer (in favour of Old Mutual Wealth Limited)

To: Natwest. Sort code 56-00-68. Account number 37632191. In the reference field on your bank transfer please enter your postcode and surname to help us process your application.

**CIA regular investment** £  per month Initial fee: £  OR:  % each direct debit

**please complete the direct debit instruction in section 10**

NEW direct debit instructions only. For changes to existing instructions, please complete the Direct Debit Amendment form.

**CIA transfer**  Tick if you are transferring investments from another product provider

Initial fee\*: £  OR:  % of the transfer value

**please complete the transfer authority at the end of this form**

\* Refer to Section 8, point 9b for information about how the fees will be met

## 4 FUND CHOICE

### Complete part A, then B or C if required

**A** Tick ONE of the following to indicate which investment range\* your fund choice is from, then list the funds below:

**WealthSelect**  
(not available if your application includes a request for re-registration, whether the application is solely for re-registration or in addition to another contribution type)

**SelfSelect**

**Bundled funds** ▶ *SelfSelect only*

Where both 'bundled' funds (full Annual Management Charge (AMC) with rebates) and 'unbundled' funds (lower AMC with reduced rebates) are available, we will automatically default to unbundled funds even if you currently hold the bundled version in your account.

Tick here if you wish us to use the bundled version of the funds selected (where available)

\*If you are topping up and have chosen a different investment range from that which you currently hold, we will automatically 'swap' all of the funds in your account and replace them with the funds listed below before carrying out your top-up application. However, we will not automatically apply a switch fee as part of the swap process.

### NOTE

#### Re-registration

- Re-registration can only be into funds in our SelfSelect investment range.
- If any of your funds CANNOT be re-registered, they will be sold and the cash proceeds transferred to us and placed into Cash Deposit. If you would prefer such proceeds to be invested into other funds, please state the funds below, using those from our SelfSelect investment range.
- If your funds CAN be re-registered, any funds that you list below will NOT be used as a switch instruction for those re-registered funds.

### Full name of fund or portfolio

▶ the funds must all be from the same investment range, not a mixture from both

Full name of fund or portfolio	Unit/Share type ie Inc/Acc†				Investment %
<b>TOTAL</b>			<b>1</b>	<b>0</b>	<b>0</b> %

An investment choice continuation sheet is available on request.

† If no unit/share type (ie Inc/Acc) is stated, accumulation units (where available) will automatically be applied. Where accumulation units have been selected and they are not available, income units will be automatically applied or vice versa. For more information on income and accumulation units/shares, refer to our Funds List.

### NOTE

If the fund choice you give is:

- missing, illegible or otherwise invalid, or
  - from an investment range that is not available for your contribution type,
- we will place the investment into Cash Deposit, after which you or your adviser can switch\* into a revised fund choice.

\* Remember: if you have automatic rebalancing on your account, switches will cause it to be cancelled and you will need to provide us with a new rebalancing instruction for it to continue.

### B PHASED INVESTMENT FOR LUMP SUMS AND CASH TRANSFERS

 ▶ not available in conjunction with automatic rebalancing

- You can place your investment into Cash Deposit then phase it into your selected fund choice on the first working day of each month over 3, 6 or 12 months. To request phased investment, complete the required frequency and start date below:

Phase every month for:  3 months  6 months  12 months      Starting on: 

0	1				2	0		
---	---	--	--	--	---	---	--	--

- Phased investment instructions will apply to all Cash Deposit holdings within your CIA, not just the investment in this application.
- You cannot phase back into Cash Deposit.
- If you do not specify a start date, phasing will begin in the next available month following your application.

### C AUTOMATIC REBALANCING

 ▶ not available in conjunction with Phased Investment or re-registration\*

- We can automatically rebalance your CIA back to your selected fund choice and proportions on the 15th of the month every 3, 6 or 12 months. To request automatic rebalancing complete the required frequency and start date below:

Automatically rebalance every:  3 months  6 months  12 months      Starting on: 

1	5				2	0		
---	---	--	--	--	---	---	--	--

- If you do not specify a start date, rebalancing will begin on the next available date for the frequency selected.
- If automatic rebalancing applies to your account, and you top up with a different fund choice, or you switch funds, you will need to complete a new rebalancing instruction to continue with it. You can obtain the necessary form from your financial adviser or by calling our Customer Contact Centre on 0808 171 2626.

\* You can request automatic rebalancing separately once the re-registration is complete, if required .

## 5 INCOME OR AUTOMATIC WITHDRAWAL INSTRUCTION ▶ if required

### NOTE

- Any instructions you give in this section will apply to your entire account, and will override any existing instructions.
- There may be tax implications if you make withdrawals from your account; please refer to your financial adviser for advice.

### A – CHOOSE ONE OF THE FOLLOWING OPTIONS

- 1. Income Payment Option** ▶ this means distribution payments from any income funds in your CIA will be paid into your bank account on the months you request in part C (provided the total received is at least £25).

**OR:**  **2. Automatic Withdrawals of a specific amount of money**

State how much you want to receive **EACH PAYMENT** £  (minimum £25)

- increase annually by 5%       increase annually by the Retail Prices Index % increase

▶ leave blank if automatic increase is not required

**OR:**  **3. Automatic Withdrawals of a percentage of your account value**

State how much you want to receive **EACH YEAR\***  % pa

\* This is an annual percentage; when the payment is due, we will calculate the percentage based on the value of your account at that time. We then divide that amount by the number of payments you specify in Part C, to calculate the amount to be paid at that time, which must equate to at least £25.

### B – FUNDS TO BE SOLD

**For Option 1 above** – this part does not apply, go to PART C

**For Options 2 and 3 above** – please indicate the funds to be sold to pay your withdrawals: ▶ if left blank we will sell proportionally from all funds

- Proportionally from all funds       Largest fund       The following funds (enter the required fund names below):


### C – FREQUENCY

Do you want to receive payments **every month?**  Yes       No – tick below the months in which you would like to receive payments:

- Jan     Feb     Mar     Apr     May     Jun  
 Jul     Aug     Sep     Oct     Nov     Dec

When would you like payments to start?     ▶ if left blank it will be the next available of the months you selected

### D – BANK DETAILS FOR YOUR PAYMENTS

- This must be your own bank account; we CANNOT make withdrawal payments to third parties.
- We may need to see proof of bank account ownership. We will let you know if this is the case as soon as we can.
- Some banks or building societies cannot accept direct credits.

Name of bank/ building society	<input type="text"/>
Branch address (must be in the UK)	<input type="text"/>
	Postcode <input type="text"/>
Sort code <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/>	Building society reference number (if applicable) <input type="text"/>
Bank account number <input type="text"/>	Name of bank account holder(s) <input type="text"/>

## 6 PAYMENTS TO YOUR FINANCIAL ADVISER – to be completed with your financial adviser if required

**Complete this section if you wish us to deduct fees for your financial adviser from your account.**

### NOTE

- **Percentage fees must be entered in multiples of 0.05%.**
- If you wish to cancel an existing fee instruction using this form, enter £0 or 0% in the boxes for the fee in question. It will be cancelled for the whole account, not just the investment in this application.
- Any Servicing or Switch Fees you authorise will apply to the entire account, and will override any existing Servicing or Switch Fee instructions on your account.

**INITIAL FEE** – if initial fees are required, please complete the details in section 3.

**SWITCH FEE** up to:      up to £       OR:       %      from each switch

- The amount you authorise using this form is the maximum fund Switch Fee payable to your financial adviser. The actual fee payable for each switch must be stipulated up to this limit, at the time the switch instruction is given.

**SERVICING FEE:**      £       OR:       %      each year

**Add VAT on top of the Servicing Fee?**  Yes

**Tick the frequency required**       Monthly       Quarterly       Half-yearly       Yearly

- If you leave the frequency blank, we will assume 'monthly'.
- The fee is an annual amount which will be divided by the payment frequency selected and paid to your adviser accordingly.
- If VAT applies to this fee, your financial adviser can either include VAT within the fee or add it on top. If you tick yes VAT will be added to the amount shown above.
- Where a percentage fee amount is agreed, the fee paid to your financial adviser may go up or down depending on the value of your account on the date the fee is deducted.

**7 OLD MUTUAL WEALTH SERVICE CHARGE & ADVISER SERVICING FEE DEDUCTIONS** ► where applicable

**You can choose which funds are sold to meet the Service Charge and adviser servicing fee, as applicable; the option selected will apply to both of these payments.**

Select one of the following options:

- Largest fund      OR       All funds      OR       The following fund(s)


**NOTE**

- If you do not specify a preference, and in the absence of any existing instructions, we will deduct the payments from the largest fund in your account.
- More information about charges and fees is in the document 'Making the cost of investment clear'

**8 DECLARATION AND SIGNATURE(S) (All applicants must sign)**

Please read this section carefully – it is important that you read and understand the Terms and Conditions as well as this declaration. You should ask questions if there is anything you do not understand before you sign and date below.

- I declare that:
      - I am 18 years of age or over
      - I am resident in the United Kingdom, Isle of Man, Guernsey or Jersey (this does not apply to top-ups)
      - I will inform Old Mutual Wealth Limited if my residency changes in the future.
    - I understand that Old Mutual Wealth Limited will administer the CIA in accordance with UK tax legislation.
    - I confirm that if withdrawals are to be paid to a beneficiary, the beneficiary is aged 18 or over.
  - I authorise Old Mutual Wealth Limited:
    - to hold my investments, interest distributions, dividends and any other rights or proceeds in respect of those investments and any other cash; and
    - to sell units or shares in investments within my account to meet any charges or fees for my financial adviser, in accordance with the Terms and Conditions; and
    - to give effect to my instructions in accordance with the Terms and Conditions.
  - I understand that I will not receive contract notes relating to transactions involving the purchase or sale of investments which are carried out on a periodic basis in the manner agreed to in this application. Details of these transactions will be shown in the half-yearly statement which will be sent to me. In particular, such transactions include:
    - regular investments payable by direct debit
    - phased investments
    - automatic rebalances
    - automatic withdrawals
    - dividend and rebate reinvestments
    - sales of units to meet Old Mutual Wealth Limited charges and fees for my financial adviser (if applicable).
  - I have been given the opportunity to read the current Terms and Conditions and to have any questions concerning them answered to my satisfaction. I agree to these terms and I have kept a copy of the Terms and Conditions together with a copy of the Key Features Document.
  - I confirm I have received all relevant Key Investor Information Documents in respect of my chosen funds.
  - I confirm I have received all relevant information about the rebates applicable to my chosen funds.
  - I consent to my personal data being used in accordance with the Personal Data Statement in the Terms and Conditions.
  - I declare that this application has been completed correctly and to the best of my knowledge and belief.
  - If I have completed section 6 of this form:
    - I authorise Old Mutual Wealth to deduct any fees detailed in section 6 from my investment and pay them to my financial adviser.
    - I understand that:
      - the fees agreed will be met as follows (as applicable):
        - Initial Fee (direct debit) – by deduction from each direct debit payment before the balance is invested into my choice of funds
        - Initial Fee (lump sum) – by deduction from my payment before the balance is invested into my choice of funds
      - Initial fee (cash transfers) – by deduction of the required percentage from each cash transfer payment before the balance is invested into my choice of funds (if the fee is requested as a monetary amount, it will be deducted as an ad hoc fee by selling units proportionally from all funds in my account once all transfer payments have been received)
      - Initial fee (re-registration) – by deduction of the required monetary amount as an ad hoc fee by selling units proportionally from all funds in my account once Old Mutual Wealth receives confirmation that all re-registrations are complete (if the fee is requested as a percentage, Old Mutual Wealth will convert this to the nearest monetary equivalent, based on the value of the total transfer, when the transfer is complete).
      - Fund Switch Fee – by deduction from the sale proceeds of the switch, before they are invested into my new choice of funds
      - Servicing Fee – by selling units as instructed in section 7.
  - if I have ticked 'Yes' in section 6 to add VAT to any servicing fees, the amount of the agreed fee will be increased to include VAT at the rate prevailing when the fee is deducted
    - if I select a percentage amount servicing or switch fee, the fee paid to my financial adviser may go up or down depending on the value of my account on the date the fee is calculated
    - I will need to reauthorise any increases to fees that have been previously agreed.
  - I confirm that:
    - I have completed and agreed section 6 with my financial adviser
    - my financial adviser has explained the effect that selling units to pay Adviser Charges from my investment will have on its future value.
    - Old Mutual Wealth has brought to my attention the importance of reading and discussing section 6 of this form with my financial adviser before signing below.
  - I understand that:
    - I can cancel an adviser servicing fee at least 10 working days before it is deducted, by contacting Old Mutual Wealth
    - I cannot cancel a fee once it has been deducted, instead I would need to contact my financial adviser to discuss whether a refund is payable.
- 10 Tax information – I understand that for regulatory purposes Old Mutual Wealth is required to obtain information concerning my taxation status.
- I declare that:
    - I am resident for taxation in the country(ies) shown in section 1 of this application and I am not resident for taxation elsewhere.
    - I am a national of the country(ies) shown in section 1 of this application and I am not a national or a citizen of any other country.
    - I will inform Old Mutual Wealth if this changes in the future.
    - the information in section 1 and the statements made in this declaration are correct and complete, to the best of my knowledge and belief.
  - I understand that:
    - Old Mutual Wealth may need to contact me for further information regarding tax information.
    - if I am resident for taxation outside of the UK and/or a US citizen, Old Mutual Wealth may need to share my information with the relevant tax authorities.

Signature(s) ► all applicants must sign

Applicant 1

Date   
 (dd/mm/yyyy)

Applicant 2

Date   
 (dd/mm/yyyy)

**9 FINANCIAL ADVISER'S DECLARATION** ► *to be completed by your financial adviser*

- 1. I understand that adviser fees will be paid subject to the limits outlined in Old Mutual Wealth's Remuneration Guide.
- 2. I confirm that:
  - (a) I have verified the identity of all relevant parties referred to in this application
  - (b) the information in this form was obtained by me in respect of the relevant parties
  - (c) the evidence I have obtained to verify the identity of the relevant parties can be produced on demand and meets the standard of evidence set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group (JMLSG)
  - (d) if any individual referred to in this application has changed address within the last three months, I can provide evidence on demand
  - (e) I have not verified the identity of the following parties referred to in this application because they are exempt from verification under Money Laundering Regulations

(f) this section is signed below by the person who has seen the documentary evidence (which may include an electronic identity check).

- 3. Tax information  
Based on the knowledge I have gained of the relevant parties, I have no reason to believe that the tax residency self-certification in section 8 of this form (point 10) requires any follow-up action.

Financial adviser's signature  Date (dd/mm/yyyy)

Print name  Position

Financial Services number  Contact number

Full name of regulated firm (or sole trader)



**Send the completed form to:**

Old Mutual Wealth  
Old Mutual House  
Portland Terrace  
Southampton  
SO14 7AY

Tel: Customer Contact Centre 0808 171 2626

**CHECKLIST**

Once you have signed the application, please check that you have completed all applicable sections and enclosed the following: *(as applicable)*

- Signed cheque** for the amount shown in section 3
- Direct Debit form**, in section 10
- Third Party Payer details** in section 11 (if someone else is paying for the investment)
- Power of Attorney details** in section 12 (if an attorney is acting for the applicant)
- Transfer authority**, at the end of the application (for each investment being transferred)

**[www.oldmutualwealth.co.uk](http://www.oldmutualwealth.co.uk)**

Calls may be monitored and recorded for training purposes and to avoid misunderstandings.

Old Mutual Wealth is the trading name of Old Mutual Wealth Limited which provides an Individual Savings Account (ISA) and Collective Investment Account (CIA) and Old Mutual Wealth Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB).

The WealthSelect Managed Portfolio Service is provided by Old Mutual Wealth Limited and Old Mutual Wealth Life & Pensions Limited.

Old Mutual Wealth Limited and Old Mutual Wealth Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively. Registered Office at Old Mutual House, Portland Terrace, Southampton SO14 7EJ, United Kingdom. Old Mutual Wealth Limited is authorised and regulated by the Financial Conduct Authority. Old Mutual Wealth Life & Pensions Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Their Financial Services register numbers are 165359 and 207977 respectively. VAT number 386 1301 59.

When printed by Old Mutual this item is produced on a mixed grade material, which uses a combination of recycled wood or paper fibre from controlled sources and virgin fibre sourced from well managed, sustainable forests.





# CIA APPLICATION SUPPLEMENT

Please complete the following sections where relevant

**IF THESE SECTIONS ARE RELEVANT TO YOUR APPLICATION BUT NOT COMPLETED, YOUR INVESTMENT WILL BE DELAYED**

## 10 BANK DETAILS FOR MONTHLY DIRECT DEBIT PAYMENTS

Please tick the date you would like your monthly Direct Debit investments to be collected from your bank.

 10th

 20th

**NOTE**

- If you tick neither date, we will collect your Direct Debits on the 10th of each month.
- Monthly Direct Debit investments will CONTINUE INDEFINITELY unless we hear otherwise from you.
- Direct Debit collections will show on your bank statement as Old Mutual Wealth Limited.
- We will apply the reference number in relation to the Direct Debit Instruction; please leave this blank.

**The instruction below must be signed in accordance with the authorised signature(s) for the bank account.**


**OLDMUTUAL**  
WEALTH

### INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBIT.



**Please complete the form and send to:**

Old Mutual Wealth Limited, Old Mutual House, Portland Terrace,  
Southampton SO14 7AY.

Service user number

6	9	0	6	9	7
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Name and full postal address of bank/building society branch

To: The Manager
bank/building society
Address
Postcode

Reference

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

**Instruction to your bank or building society**

Please pay Old Mutual Wealth Limited Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee.

I understand that this Instruction may remain with Old Mutual Wealth Limited and, if so, details will be passed electronically to my bank/building society.

Name(s) of bank account holder(s)

--

Signature(s)


Date

	/	/20
	/	/20

Bank/building society account number

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Branch sort code

		-			-		
--	--	---	--	--	---	--	--

Banks and building societies may not accept Direct Debit Instructions for some types of account.

This Guarantee should be detached and retained by the payer.

**The Direct Debit Guarantee.**

- This Guarantee is offered by all banks and building societies that accept Instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit Old Mutual Wealth Limited will notify you five working days in advance of your account being debited or as otherwise agreed. If you request Old Mutual Wealth Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by Old Mutual Wealth Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.  
– If you receive a refund you are not entitled to, you must pay it back when Old Mutual Wealth Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.



## 11 THIRD-PARTY PAYER DETAILS

This section must be completed with details of any third party paying for your lump sum or direct debit investment.

If there is more than one third-party payer please photocopy and complete this section for each one and attach to this application.

Surname/  
Company name

Full forename(s)  
(if applicable)

Permanent UK  
residential/  
registered office  
address  Postcode

Date of birth  
(dd/mm/yyyy)

Company registration number  
(UK companies only)

Which payment is being made by this third party?  Lump sum  Direct debit

## 12 POWER OF ATTORNEY

Where there is more than one attorney, please attach the same information for each one on a separate sheet of paper. Where an attorney is signing the Declaration in section 8 on behalf of the applicant we will need:

- the attorney's details below
- the original power of attorney, or a copy certified as a true copy of the original in ink on each page by a solicitor, or the donor (ie the person giving the power)
- the attorney's identity verified.

Surname

Full forename(s)

Full postal address  
(if correspondence for  
this account is to be sent  
to this address, please  
enter it in section 1)

Date of birth  
(dd/mm/yyyy)

I have read the Personal Data Statement in the Terms and Conditions and consent to my personal data being used in accordance with that statement.

**Attorney's signature** (You must sign both here and in section 8 writing the words 'as attorney' after your signature)

Date  
(dd/mm/yyyy)



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Old Mutual Wealth Limited and Old Mutual Wealth Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively.

Registered Office at Old Mutual House, Portland Terrace, Southampton SO14 7EJ, United Kingdom. Old Mutual Wealth Limited is authorised and regulated by the Financial Conduct Authority. Old Mutual Wealth Life & Pensions Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Their Financial Services register numbers are 165359 and 207977 respectively. VAT number 386 1301 59.

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# TRANSFER AUTHORITY FORM – CIA ONLY

This form authorises your existing provider to carry out the transfer to us.

**NOTE**

- A separate form will be required for each existing provider you wish to authorise (referred to in this form as ‘ceding provider’).
- All applicable sections of the form must be completed as missing information will result in a delay in processing this application.
- You can only transfer units/shares that are held in your name(s) (or held on your behalf by a nominee).
- Do not use this form for trust or pension scheme investments, for which there is a separate form.

Please tick/complete this form using BLOCK CAPITALS and blue or black ink

## 1 INVESTOR'S DETAILS

First investor

Title  Mr  Mrs  Miss  Other *(please specify)*

Surname

Full forename(s)

Date of birth *(dd/mm/yyyy)*

National Insurance number      If you have never been issued with a National Insurance number, tick here (✓)

Permanent UK residential address  Postcode

Joint investor's name *(if applicable)*

Joint investor's name *(if applicable)*

Joint investor's name *(if applicable)*

## 2 FUND MANAGER OR PRODUCT PROVIDER'S DETAILS

Name of fund manager or product provider

Address of fund manager or product provider  Postcode

▶ *this must be the current address to avoid any delays with the transfer or the need to complete a replacement authority*

Fund manager or product provider's reference number

▶ *some fund managers/providers require a separate form for each reference number*

Designation *(if applicable)*

## 3 TRANSFER DETAILS

Tick to indicate the transfer required (If neither is ticked we will assume re-registration)

- Re-registration** I understand that my investments will be sold only if they cannot be re-registered and that this could cause a CGT liability
- Cash** I request all investments to be sold and the proceeds transferred to Old Mutual Wealth to be invested in the funds selected in my application

**4 TRANSFER AUTHORITY** THIS AUTHORITY IS GIVEN BY EACH OF THE UNDERSIGNED FOR THE CEDING PROVIDER DETAILED IN THIS FORM

1. I authorise the ceding provider to provide Old Mutual Wealth Limited with any information it may require.
2. I confirm that this transaction is exempt from Stamp Duty Reserve Tax (SDRT) by virtue of Paragraph 6 of Schedule 19 of the Finance Act 1999.

**3. If I have requested re-registration:**

- I authorise the ceding provider to re-register the investments as detailed with immediate effect to 'Old Mutual Wealth Nominees Limited – Designation: 'SIS' Old Mutual House, Portland Terrace, Southampton, SO14 7EJ.
- I authorise the ceding provider to sell any of my investments that cannot be re-registered for whatever reason, and to transfer the cash proceeds in pounds sterling to Old Mutual Wealth.
- I understand that any sale of investments could cause a CGT liability.

First investor's signature

1.

Joint investors' signatures (if applicable)

2.

3.

4.

- I confirm that the re-registration of the investments held will not change the beneficial ownership from the current holder.

**4. If I have requested a cash transfer:**

- I authorise the ceding provider to sell the investments and to transfer the cash proceeds in pounds sterling to Old Mutual Wealth.
  - I understand that any sale of investments could cause a CGT liability.
5. I authorise the ceding provider to transfer any cash proceeds to Old Mutual Wealth Limited (Natwest, sort code 56-00-68, account number 37632191) and to state my name and postcode on the reference field of the bank transfer, to help Old Mutual Wealth process the application.

Date (dd/mm/yyyy)

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Date (dd/mm/yyyy)

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Date (dd/mm/yyyy)

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

Calls may be monitored and recorded for training purposes and to avoid misunderstandings.

Old Mutual Wealth is the trading name of Old Mutual Wealth Limited which provides an Individual Savings Account (ISA) and Collective Investment Account (CIA) and Old Mutual Wealth Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB).

The WealthSelect Managed Portfolio Service is provided by Old Mutual Wealth Limited and Old Mutual Wealth Life & Pensions Limited.

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