DELAUNAY wealth

Registered Scheme Administrator
Office 12
Venture Wales Building
Pentrebach
Merthyr Tydfil
CF48 4DR

04 March 2020

Subject – Balicrest Executive Pension Scheme Transfer from Nucleus to Transact

Dear Sirs,

With regards to the above-named clients,

If you could fill out the address details, sign and then return to us it would be much appreciated.

I have enclosed a prepaid envelope for your convenience.

Should you have any queries, please do let us know.

Yours sincerely,

J Khalil

Junaid Khalil

Client Support Team
Delaunay Wealth Management Ltd

Enclosed:

- T001 (TR) form
- T003 form
- T010 form
- TP002 form
- Prepaid envelope

Registered Scheme Administrator
Office 12
Venture Wales Building
Pentrebach
Merthyr Tydfil
CF48 4DR

03 December 2019

Subject – Balicrest Executive Pension Scheme Transfer from Nucleus to Transact

Dear Sirs,

With regards to the above-named clients,

Please see enclosed application documents in regard to transferring the scheme from Nucleus to Transact. I have attached some sign here stickers to make it a little easier for you. If you could fill out the address details, sign and then return to us it would be much appreciated.

I have enclosed a prepaid envelope for your convenience.

Should you have any queries, please do let us know.

Yours sincerely,

Junaid Khalil

Client Support Team
Delaunay Wealth Management Ltd

Enclosed:

- T001 (TR) form
- T003 form
- T010 form
- TP002 form
- Prepaid envelope

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6. Adviser Firm Authorisation

We confirm that the Investor has appointed, or we as the Investor's agent have appointed, the named Third Party.

Adviser Firm Authorised Signature

✘

Date (dd/mm/yyyy)

/ /

Adviser Firm Name

Delaunay Wealth Management Limited

Adviser Firm Transact Number

6 0 5 - 2 6 4 - 8 3 6

7. Investor Declaration and Authorisation

By signing this authorisation form you:

- accept and acknowledge that this instruction is supplementary to your agreement with us, which shall continue in full force and effect;
- agree that your personal information will be shared with your specified Third Party. This is in addition to the third parties specified in our Standard Privacy Notice and any other privacy notices specific to the Wrappers held in your Portfolio. These were supplied to you when you opened them. You can obtain copies of all our privacy notices via https://www.transact-online.co.uk/important-information/;
- authorise us to act in accordance with the details set out in this form when dealing with the Third Party (including, without limitation, where the Third Party is your Discretionary Investment Manager, accepting instructions for transactions from the Third Party) in relation to your nominated Wrappers;
- understand that we will continue to accept instructions from you, your Adviser and the Third Party (while they remain appointed by you) in respect of your nominated Wrappers;

and you agree that:

- any reference to "Adviser" or "Discretionary Investment Manager" in the Transact Client Terms and Conditions ('Terms and Conditions for the Transact Wrap Service') will include any Third Party appointed by you in relation to your nominated Wrappers;
- we do not manage any agreement you may have with the Third Party and we are not liable for the consequences of the Third Party failing to comply with the terms of that agreement;
- you will notify us in writing if you change or terminate the agreement with the Third Party. On receipt of such notification, we will be entitled to stop dealing with the Third Party in relation to your nominated Wrappers unless you notify us otherwise;
- you hereby re-affirm the declarations made on your Transact Portfolio application form; and
- the signatories below are all the signatories required to authorise this instruction on behalf of your Transact Portfolio(s).

Investor 1 Signature

✘

Date (dd/mm/yyyy)

/ /

Investor 2 Signature (where applicable)

✘

Date (dd/mm/yyyy)

/ /

If more than two signatories are required (for example, in the case of a trust), please use the box below for additional signatures.

"Transact" is operated by Integrated Financial Arrangements Ltd, 29 Clement's Lane, London, EC4N 7AE
Tel: (020) 7608 4900 Fax: (020) 7608 5300 email: info@transact-online.co.uk web: www.transact-online.co.uk
(Registered office: as above; Registered in England and Wales under number: 3727592)
Authorised and regulated by the Financial Conduct Authority
(entered on the Financial Services Register under number: 190856)

Appointment - Third Party

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1. Investor Details

Name(s)

Balicrest Executive Pension Scheme

Portfolio Number ___ - ___ - ___   **Portfolio Number** ___ - ___ - ___   **Portfolio Number** ___ - ___ - ___

2. Third Party Details

The following Third Party has been appointed by me/us or my/our Adviser in relation to the nominated Transact Wrappers set out in Section 3, with immediate effect and in accordance with the information provided in this form:

Name of Third Party

LONGLEY ASSET MANAGEMENT

3. Nominated Wrappers

Please specify the Wrappers (including unique Wrapper name if any) that you wish to link to the appointed Third Party.

Wrapper Include Wrapper Name if known	**Portfolio Number** If more than one Portfolio listed in Section 1
GIA	

4. Third Party Payment Instructions

Please specify the amount you wish to pay the Third Party for its services, as an annual percentage of the Cash and Investments in the Wrappers nominated in Section 3. Where you do not enter a percentage, we will set it to 0%. For definitions of Cash, VAT and VAT Adjustment, please refer to the Transact Client Terms and Conditions ('Terms and Conditions for the Transact Wrap Service').

Payment Type	Applicable Rate
Annual (Cash):	0.35 %
Annual (Investments):	0.35 %

✓ Apply VAT Adjustment to Annual Payment
VAT Adjustment will move in line with the current VAT rate.

5. Third Party Additional Payment Instructions

Complete this section if you wish to pay the Third Party **in addition to** existing fee arrangements.

Wrapper	Amount	VAT Adjustment*
	.	☐
	.	☐

*VAT Adjustment will move in line with the current VAT rate.

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Portfolio Application - Trust Applicants

1. Applicant Details

Trust Name (Full legal name)
This will be the Portfolio Name

Balicrest Executive Pension Scheme

Please enclose the original or a certified copy of the Trust Deed (and the Deed of Assignment/Variation if changes have been made to the original Trust Deed) or a certified copy of the Will and Grant of Probate/Death Certificate in the case of a Will Trust.

Is this a Discounted Gift Trust? Yes No

If not, is the Trust one of the following types? For each of these types, the Portfolio will receive interest on cash balances before deduction of tax.

SIPP

Other pension trust

Standard Assets only
Transact will prevent future investment in non-standard assets in your Portfolio. See the 'Standard and Non-standard Assets' User Guide on Transact Online for details.

Charitable Trust

Charity Commission Registration Number

Entity Classification(s) for FATCA and International Tax Compliance Regulation purposes

GIIN if applicable

We will treat your entity as a Passive Non Financial Foreign Entity (NFFE)/Passive Non Financial Entity (NFE) unless you provide us with an alternative classification. For guidance on this section, please refer to the Self Certification User Guide.

Email

Postal Address
PO Box and 'Care Of' addresses are not acceptable.

Country

Postcode

Country of Tax Residence (list all)

Tax Identification Number (list all)

Contact Telephone

Legal Entity Identifier (LEI)

A LEI is needed to trade, or transfer, reportable assets after 3 January 2018. Reportable assets include company shares, bonds, exchange traded funds, structured products and venture capital trusts. Where this application relates to a third party pension investment GIA, it may be possible to use the pension administrator's LEI rather than acquiring a separate LEI for the trust portfolio. Please speak to your Adviser if you have any questions on LEIs.

Communications

We will provide documentation relating to transactions on your Transact Portfolio electronically via Transact Online, and will notify you via email when a document is added to Transact Online. We will also notify you via email about other matters relating to your Transact Portfolio.

I do I do not wish to receive paper copies of documentation relating to transactions provided via Transact Online. Please note that if you choose not to receive paper copies, we will require your email address.

2. Trustees, Protectors, Beneficiaries and Settlor

Please provide details for the following (please print off additional sheets as required and submit together with the application). Please enter all names in full and without any abbreviations:

- all trustees (including any Corporate Trustee)
- all beneficiaries, including members of a class of beneficiaries
- all protectors (where appropriate)
- settlor (where appropriate)

Note that it is possible for an individual to fulfil more than one role simultaneously. For example, a person can be both Trustee and Beneficiary.
If any individual has lived at their current address for less than three months, please attach details of the previous address.
You are required to notify Transact of any changes to the details below.
For guidance and information on beneficiaries who are Controlling Persons, please refer to the Self Certification User Guide.

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2. Trustees, Protectors, Beneficiaries and Settlor (continued)

Corporate Trustee

Entity Name

Companies House Number (or overseas equivalent)

Registration Number
FCA Firm Reference Number, Pension Scheme Tax Reference or Law Society Firm Reference Number

If a registration number has not been entered above, please provide with this application the full names, residential addresses, nationalities, countries of tax residency and tax identification numbers of:

- all directors (clearly identifying the managing director)
- all individuals holding 25% or more of the company's shares or voting rights

Entity Classification(s) for FATCA and International Tax Compliance Regulation purposes

GIIN if applicable

We will treat your entity as a Passive Non Financial Foreign Entity (NFFE)/Passive Non Financial Entity (NFE) unless you provide us with an alternative classification. For guidance on this section, please refer to the Self Certification User Guide.

Principal Place of Business of the Corporate Trustee
PO Box and 'Care Of' addresses are not acceptable. If you are an incorporated company, please also provide your registered office address, if different.

Country

Postcode

Country of Tax Residence (list all)

Tax Identification Number (list all)

Email

Individual 1

Title

Surname

Given Names

Nationality (list all)

UK resident for tax purposes?
Yes No

National Insurance Number

For any other countries in which you are tax resident, please enter the following (use a separate page if necessary):

Country of Tax Residence

Tax Identification Number

Trustee Beneficiary
Protector Settlor

Permanent Residential Address
PO Box and 'Care Of' addresses are not acceptable

Postcode

Date of Birth (dd/mm/yyyy)
/ /

Email

Individual 2

Title

Surname

Given Names

Nationality (list all)

UK resident for tax purposes?
Yes No

National Insurance Number

For any other countries in which you are tax resident, please enter the following (use a separate page if necessary):

Country of Tax Residence

Tax Identification Number

Trustee Beneficiary
Protector Settlor

Permanent Residential Address
PO Box and 'Care Of' addresses are not acceptable

Postcode

Date of Birth (dd/mm/yyyy)
/ /

Email

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2. Trustees, Protectors, Beneficiaries and Settlor (continued)

Individual 3

Title

Surname

Given Names

Nationality (list all)

UK resident for tax purposes?

Yes No

National Insurance Number

For any other countries in which you are tax resident, please enter the following (use a separate page if necessary):

Country of Tax Residence

Tax Identification Number

Trustee Beneficiary

Protector Settlor

Permanent Residential Address

PO Box and 'Care Of' addresses are not acceptable

Postcode

Date of Birth (dd/mm/yyyy)

/ /

Email

Individual 4

Title

Surname

Given Names

Nationality (list all)

UK resident for tax purposes?

Yes No

National Insurance Number

For any other countries in which you are tax resident, please enter the following (use a separate page if necessary):

Country of Tax Residence

Tax Identification Number

Trustee Beneficiary

Protector Settlor

Permanent Residential Address

PO Box and 'Care Of' addresses are not acceptable

Postcode

Date of Birth (dd/mm/yyyy)

/ /

Email

3. Bank Account Details

We will use the account you specify below to make payments to you. For your protection, any cash withdrawals from your Portfolio will only be paid by direct credit to your Nominated Account. The Nominated Account must be with a UK bank or building society, in the name of the Portfolio holder (as a single or joint account holder).

Name of Bank/Building Society

Name of Account Holder

Branch Sort Code

- -

This is a Building Society

Account Number

Roll Number (if Building Society)

To verify the bank account details you have provided, we require one of the following:

Bank statement (original or certified copy)

Electronic Deposit

Cheque or voided cheque

Debit card (certified copy)

Bank transfer payments to Transact are the fastest way for your deposit to become available for investment.

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4. Adviser Payment Instructions

Please specify below the rates of payment you wish to be paid to your Adviser. The rates will apply to your entire Portfolio unless you vary them with an Adviser Payment Amendment Form. Where you do not enter a percentage we will enter it as 0.

Initial Payment 0 . 0 0 % of the value of purchases

OR

. % of the value of cash deposited or Investments transferred in (a 'Portfolio Establishment Fee')

Switch Payment . % of the value of purchases using cash from the sale of Investments not transferred

Annual Payment (Investments) 1 . 0 0 %

Annual Payment (Cash) 1 . 0 0 %

of the value of your Portfolio and paid on a monthly basis

5. Applicant Declaration

We will provide the Portfolio in accordance with the Transact Key Features Document, the Transact Terms and Conditions, the Transact Commissions and Charges Schedule and the information you have provided in this application form. Please read these documents before signing the application form. They contain important information about how we administer your Portfolio and we will seek to rely on them in all our dealings with you. Please speak to your Financial Adviser if there is anything you do not understand. We will use your personal information to set up and administer your Portfolio and may pass it to our third party service providers, some of whom may be outside the EEA, or to any legal or regulatory bodies. For more information please read our Standard Privacy Notice and where a Settlor is not a trustee our Trust Settlor Privacy Notice which can be found via https://www.transact-online.co.uk/important-information/.

By signing this application form you agree and certify that:

- the information you have supplied in this application is true and complete to the best of your knowledge and belief;
- you have been provided, in good time before signing this application form, with copies of the Transact Key Features Document, the Transact Terms and Conditions and the Transact Commissions and Charges Schedule. You have read these and understand that by signing this application form you agree to be bound by them. You have also been provided with the Standard Privacy Notice and where a Settlor is not a trustee our Trust Settlor Privacy Notice. You understand that the prevailing Transact Terms and Conditions can be found on the Transact website and that you should ask your Adviser if you have any questions;
- you understand that your signed application form (once accepted by us) together with the Transact Terms and Conditions form your agreement with Transact;
- you acknowledge that we accept no liability for any loss incurred by you or to your Portfolio as a result of your reliance on the standard assets restrictions applied to your Portfolio, or any related standard asset or non-standard asset information provided by us to you;
- we may attempt to verify your identity and the identity of the Settlor and Beneficiaries with a credit reference agency. The reference agency will check the details supplied by you against any particulars on any database (public or otherwise) to which they have access. The agency will add a note to your credit file to show that an identity check has been made, but only you will be able to see this. It will not be disclosed to any third parties and will not affect your credit rating. If we are unable to verify your identity in this manner we will ask you to provide further documentation;
- the entity classifications and information on the trustees, protectors, beneficiaries and settlors is true and correct for the purposes of FATCA and International Tax Compliance Regulations;
- Transact may execute trades outside of a Trading Venue, as described in the Transact Order Execution Policy;
- you appoint as your Adviser the firm referred to in Section 7;
- Adviser Payments outlined in section 4 are to be deducted from your Portfolio and paid to your Adviser;
- you will inform Transact of any changes in the information provided in this application form immediately prior to the change occurring.

Authorised Signature

✘

Name

Date (dd/mm/yyyy) / /

Authorised Signature

✘

Name

Date (dd/mm/yyyy) / /

Corporate/Pension Trustee Authorised Signature

✘

Name

Date (dd/mm/yyyy) / /

Authorised Signature

✘

Name

Date (dd/mm/yyyy) / /

Authorised Signature

✘

Name

Date (dd/mm/yyyy) / /

Corporate/Pension Trustee Authorised Signature

✘

Name

Date (dd/mm/yyyy) / /

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Instruction - Dealing

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1. Investor Details

Name

Balicrest Executive Pension Scheme

Portfolio Number

_ _ _ - _ _ _ - _ _ _

Dealing Notes

2. Dealing Instruction

For buys, select whether you wish to deal Inclusive or Exclusive of charges. If you select Inclusive, the amount you specify will be used to pay for the investments chosen as well as all charges. If you select Exclusive, we will buy the amount you specify and add charges. If you do not make a selection, we will assume you wish to deal Inclusive of charges.

Indicate the basis for all buys ✓ Inclusive ☐ Exclusive

Note: The ISIN will be used as the unique reference for the order, the fund name is for information only.

Please indicate in the 'Frequency' column whether this is a single buy/sale (S) or a regular one: Monthly (M), Quarterly (Q), Half-yearly (H), Yearly (Y). Unless you indicate otherwise in the 'Source of Funds' column, we will use cash from the Wrapper you are buying into.

✓ Invest tax relief where applicable ✓ Invest lifetime ISA bonus where applicable

Transact Wrapper	Buy/Sell	Source of Funds Where applicable	ISIN/EPIC/ Model No. (Must be included)	Fund/Share/Template	Type* £/Units/%	Amount	Frequency (S, M, Q, H, Y)
GIA	Buy	Transfer	MOD1301641	Delaunay Conservative Model	%	100.00	S
						.	
						.	
						.	
						.	
						.	
						.	
						.	

*Select '£' , 'Unit' or '%' for sales of current holdings. For buys, select '£' or 'Units' to buy using cash currently in the Wrapper. If you select 'Buy' and '%', you must also specify a deposit/transfer reference (such as a cheque number) in 'Source of Funds'. For regular buys, you cannot select 'Units'. Express Trade instructions must only be given by telephone.

3. Authorisation

I authorise Transact to buy/sell, on my behalf, or on behalf of my client, the investments detailed in Section 2 above, in accordance with the Terms and Conditions for the Transact Wrap Service.

Investor or Firm Authorised Signature

✗

Name and Function (for Firm Authorised Signature only)

Date (dd/mm/yyyy)

/ /

Investment Decision Maker

Where discretionary permissions are being used, please state full name of a Transact registered Investment Decision Maker.

To register, please complete and return our A006 form.

07/18

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"Transact" is operated by Integrated Financial Arrangements Ltd, 29 Clement's Lane, London, EC4N 7AE
Tel: (020) 7608 4900 Fax: (020) 7608 5300 email: info@transact-online.co.uk web: www.transact-online.co.uk
(Registered office: as above; Registered in England and Wales under number: 3727592)
Authorised and regulated by the Financial Conduct Authority (entered on the Financial Services Register under number: 190856)

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Instruction - Asset Transfer

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1. Investor Details

Name

Balicrest Executive Pension Scheme

Transact Portfolio Number

- -

Permanent Residential Address

Country

Postcode

2. Transfer Instruction

Current Manager/Registrar

NUCLEUS

Account Number

N237800

Address

Nucleus HQ
Greenside, 12 Blenheim Place
Edinburgh

Postcode

EH7 5JH

✓ Please transfer the entire contents of the above account to my Transact Portfolio.**

OR

☐ Please transfer the following assets from the above account to my Transact Portfolio:

Fund/Share	ISIN/EPIC	Number of Units	Certificated? Yes*	Certificated? No**
			☐	☐
			☐	☐
			☐	☐
			☐	☐
			☐	☐

*Please also complete a CREST transfer form (available from the Forms page of the Transact website).
**Please include a share statement or valuation with this instruction.

3. Adviser Payment

If you have agreed to pay your Adviser on a Portfolio Establishment Fee (PEF) basis, you may vary the initial Adviser Payment rate **for this transfer:** . %

4. Authorisation

I authorise the above Manager/Registrar to provide Integrated Financial Arrangements Ltd with any information they require to transfer the ownership of the assets/account set out above into the name of its nominee, Transact Nominees Ltd (or any other company appointed by us to act as a Nominee), and to accept any instruction from Integrated Financial Arrangements Ltd relating to the transfer.

Portfolio Holder 1 Signature

✗

Name

Date (dd/mm/yyyy)

/ /

Portfolio Holder 2 Signature (for joint Investors)

✗

Name

Date (dd/mm/yyyy)

/ /

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