

NEW SIPP FORM

To be used with all new pension applications by agents and direct clients

CLIENT DETAILS

Title First Names (in full)

Surname

Address

Postcode

E-Mail

Tel (Home)

Tel (Work)

Tel (Mobile)

Fax

Date of Birth

National Insurance Number

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)

**I agree to Pilling & Co's General Terms & Conditions
and SIPP account Terms & Conditions**

Signed

Name

Date

FOR ADVISERS ONLY

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)

Agent FSA Number

Agent VAT Number

Agent Stamp

Agent commission instructions

I agree that my Agent

can claim initial commission of % of initial
contributions

and % per annum trail fee on my portfolio value.

Agent Bank Account No.

Sort Code

Signed (Client)

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

IMPORTANT NOTICE

PLEASE READ CAREFULLY

Pilling & Co is regulated by the Financial Services Authority (FSA) No. 141242 and therefore subject to the jurisdiction of the Financial Ombudsman Service (FOS).

A leaflet detailing our own internal Complaints Handling Procedure is available on request together with booklets describing the operation of the FOS and the Financial Services Compensation Scheme (FSCS) and how to get in touch with them.

Information in this brochure is for guidance only. It is not a recommendation for SIPP's or any other product or to join the Pilling Investment Management or Discretionary Service without proper consideration of your personal financial circumstances and investment needs. Whilst every effort is made to ensure accuracy, we cannot be held liable for any errors or omissions in this brochure. The past is not a guide to future performance, and the tax treatment of investments depends on individual circumstances and is subject to statutory change. Since the value of investments and the income they produce can go down as well as up, you may not always get back the full amount originally invested.

Identification Requirements

We are required to conduct Anti-Money Laundering identification checks. To satisfy these requirements you are required to provide documentation to confirm your identification and separate documentation to confirm your address. We detail below the types of documents you can use.

For verification of name you could use the following:-

- An HMRC tax coding notification form or tax demand, not a letter from the HMRC.
- A state pension notification form or benefits/disability/attendance allowance notification, again, not a letter from the Benefits Agency.
- A certified copy of a signed passport or driving licence, the copies may be certified by a professional person, such as a solicitor, GP, accountant or your bank. The person certifying the copy must state that they have seen the original document. Additionally they must give their name, capacity and contact details.

If you do send an original driving licence or passport, we strongly recommend you use a recorded delivery service as we cannot be held liable should it get lost in the post.

For verification of the address you can use the following: - (please note that we cannot accept a mobile telephone bill).

- A recent utility bill
- A bank statement
- A local rates or rent bill