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## Tax Declaration for Entities

– For the Collective Investment Account (CIA) or Collective Investment Bond (CIB)

### This form is needed for the following:

- new investments into the CIA or CIB by a Trust; Company/Partnership; Registered Charity; Registered Pension Scheme; Insurance Company; Club/Association, referred to as 'entities'
- where an existing account is transferred or assigned to an entity, eg when using a Quilter trust deed.
- existing accounts where there has been a change in circumstances of the entity or a controlling person (such as a change of address, tax residency or nationality)

We regularly update our forms; your financial adviser can confirm that this **September 2024** version is the latest by checking the literature library on our website [quilter.com](https://www.quilter.com)



### Completing this form:



#### You must complete all sections indicated for your entity type

- Failure to provide all relevant information may result in a delay to your instruction and/or cause the entity to become reportable.
- The declarations made in this form will remain valid until there has been a change in circumstances for the entity or controlling persons. In this event you must provide an updated declaration within 90 days of the event.

- We've provided notes and definitions at the back of this form to aid with completion.
- You can complete the form electronically by using the editable fields, if preferred; save the form to your desktop before you do so, to ensure that the information is saved correctly. Then print, sign and send it to us.
- Alternatively, you can print and complete it by hand using **BLOCK CAPITALS** and blue or black ink.
- For dates, please use the format DD/MM/YYYY.
- References to Quilter in this form mean Quilter Life & Pensions Limited or Quilter Investment Platform Limited.



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Alternatively, you can send your form by post to: Quilter, SUNDERLAND, SR43 4JP.



## Part 1 – The entity

### COMPLETE THIS SECTION IN ALL CASES

Entity's name

*(this is also the name of the applicant/account holder)*

Entity's address

 Postcode

Entity's reference number\*

*(company, charity or pension scheme)*

\*This is any reference issued to the entity on registration with its governing body, eg company number, charity number, pension scheme reference.

Entity's Legal Entity Identifier (LEI\*\*) ▶ *If applicable*

      0 0            

Entity's account details

Account number ▶ *If known*

*Customer reference* *Account*

A	C	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	<input type="text"/>
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OR

Bond number (CIB only) ▶ *If known*

 3

Entity type\*\*

Use the table below to indicate the entity type (tick one)

Entity type	Classification	Tick one	Next step
<b>Trust</b>	Non-Professionally Managed	Passive Non-Financial Entity	Proceed to Parts 2, 3 and 4
	Professionally Managed <i>(by a corporate entity acting as trustee)</i>	Non-reporting Financial Institution managed by a Reporting Financial Institution	Provide the trustee company's GIIN and proceed to Part 4
<b>Company/ Partnership</b>	Non-Trading Company	Passive Non-Financial Entity	Proceed to Parts 2, 3 and 4
	Trading Company	Active Non-Financial Entity	Proceed to Part 4
<b>Registered Charity</b>	Investment Entity	Financial Institution	Provide the charity's GIIN and proceed to Part 4
	Not-for-profit charity	Active Non-Financial Entity	Proceed to Part 4
<b>Club/Association</b>		Active Non-Financial Entity	Proceed to Part 4
<b>Registered Pension Scheme</b>	Non-Professionally Managed	Financial Institution	Provide the GIIN for the pension scheme and proceed to Part 4
	Professionally Managed <i>(by a corporate entity acting as trustee)</i>	Financial Institution	Provide the trustee's GIIN and proceed to Part 4
<b>Insurance Company</b>		Financial Institution	Provide the insurance company's GIIN and proceed to Part 4
<b>Other** - provide details</b>			Refer to the notes and definitions for next steps

Global Intermediary Identification Number (GIIN)

Provide the entity's GIIN if indicated in the table above

               

If there is no GIIN, you must explain why:

*(eg confirm the entity's classification under FATCA regulations)*

▶ *If you do not have a GIIN, we may request additional information from you.*

  



\*\*See the notes and definitions for more information.

## Part 2 – Tax residency

### ONLY COMPLETE THIS SECTION IF INDICATED IN PART 1

Please indicate the country(ies) in which the entity is tax resident. For each country provide the Tax Identification Number (TIN) issued to the entity by that country.



See the notes and definitions for more information on TINs.

Country of tax residency	Tax Identification Number (TIN)	Type of TIN

If a TIN has not been provided, tick below to indicate why:

Entity is a new Quilter trust, which has not yet registered with HMRC's Trust Register

▶The trustees have 90 days from the trust date to register. You must send the proof of registration document to Quilter.

Entity is a UK trust, which is exempt from registration with HMRC's Trust Register

The country of residence does not issue TINs to this type of entity

The entity does not require a TIN - please explain why below

Other - please explain why below

## Part 3 – Controlling persons

### ONLY COMPLETE THIS SECTION IF INDICATED IN PART 1



- A controlling person is any individual who has influence or control over the entity.
- See the notes and definitions for help identifying the controlling persons.

Tick one of the following:

All controlling persons are British citizens and UK tax resident only - [Go to Part 4](#)

One or more controlling persons is a national, citizen or tax resident in a country other than, or in addition to, the UK - [Complete Part 3](#)

▶You must provide their details in this section and list all countries in which they are a national, citizen or tax resident (including the UK, if applicable).

Role	Settlor	Trustee	Protector	Beneficiary (or included in a class of beneficiaries)
	Director	Shareholder		
Title	Mr	Mrs	Miss	Ms
	Other ▶Please specify <input type="text"/>			
First name(s)	<input type="text"/>			
Surname	<input type="text"/>			
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
			Country of birth	<input type="text"/>
Residential address	<input type="text"/>			
	Postcode <input type="text"/>			

List all countries in which the controlling person is a national, citizen or tax resident (including the UK, if applicable)

Country	Status (tick all that apply)	Tax Identification Number(s) (TIN)	Type of TIN
	National/Citizen	Tax resident	
	National/Citizen	Tax resident	

If a TIN has not been provided, please indicate why:

The country's tax authority has not issued a TIN to the controlling person.

Other - Please explain

► If there are more than three controlling persons, use copies of this page to provide the same details for the others.

Role	Settlor Director	Trustee Shareholder	Protector	Beneficiary (or included in a class of beneficiaries)	
Title	Mr	Mrs	Miss	Ms	Other ► Please specify <input type="text"/>
First name(s)	<input type="text"/>				
Surname	<input type="text"/>				
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Country of birth <input type="text"/>
Residential address	<input type="text"/>				
	<input type="text"/>				
	Postcode				

List all countries in which the controlling person is a national, citizen or tax resident (including the UK, if applicable)

Country	Status (tick all that apply)	Tax Identification Number(s) (TIN)	Type of TIN
	National/Citizen    Tax resident		
	National/Citizen    Tax resident		

If a TIN has not been provided, please indicate why:

The country's tax authority has not issued a TIN to the controlling person.

Other - Please explain

Role	Settlor Director	Trustee Shareholder	Protector	Beneficiary (or included in a class of beneficiaries)	
Title	Mr	Mrs	Miss	Ms	Other ► Please specify <input type="text"/>
First name(s)	<input type="text"/>				
Surname	<input type="text"/>				
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Country of birth <input type="text"/>
Residential address	<input type="text"/>				
	<input type="text"/>				
	Postcode				

List all countries in which the controlling person is a national, citizen or tax resident (including the UK, if applicable)

Country	Status (tick all that apply)	Tax Identification Number(s) (TIN)	Type of TIN
	National/Citizen    Tax resident		
	National/Citizen    Tax resident		

If a TIN has not been provided, please indicate why:

The country's tax authority has not issued a TIN to the controlling person.

Other - Please explain



## Part 4 – Declarations



- This declaration can be made by the trustees, company directors, scheme administrators, or other signatory(ies) authorised to represent the entity.
- Alternatively, the financial adviser, as agent, may make the declaration on behalf of the entity.

The declaration is made by each person signing below.

1. I declare that the information provided in this Tax Declaration is, to the best of my knowledge and belief, accurate and that the statements made herein are true and complete.
2. I agree to notify you within 90 days if any information contained in this Tax Declaration changes, for example where the controlling persons change. I understand that this will require a new Tax Declaration form to be completed.
3. I understand that the information collected in this Tax Declaration may be disclosed to HM Revenue & Customs which may, under a relevant inter-governmental agreement, provide the information to an overseas tax authority.
4. I understand that any missing or incomplete information may delay my instruction to Quilter and cause the entity to become reportable.
5. **Personal information** – I confirm that:
  - a) I have read Quilter’s privacy notice available at [quilter.com/privacy](https://quilter.com/privacy) concerning use of my personal information.
  - b) I have obtained the consent of any other party named in this Tax Declaration to use their personal data in accordance with Quilter’s privacy notice.

By signing below I confirm that I have read the above declaration and, if a third party has completed this form on behalf of the entity, that all the information provided within it is correct.

<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing*	<input type="text"/>
<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing*	<input type="text"/>
<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing*	<input type="text"/>
<b>Signature:</b>	<input type="text"/>	Date	<input type="text"/>
Print full name	<input type="text"/>	Capacity in which signing*	<input type="text"/>

\*eg trustee, company director, scheme administrator, signatory, financial adviser



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Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years.

Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB).

Quilter Investment Platform Limited and Quilter Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively.

Registered Office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB, United Kingdom. Quilter Investment Platform Limited is authorised and regulated by the Financial Conduct Authority. Quilter 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.





## Tax Declaration for Entities Notes and definitions

These notes are for you to keep; please read them before completing and submitting the form.

### *Why is a tax declaration needed?*

- Under Automatic Exchange of Information (AEOI) regulations, Quilter is required to gather information about an entity's tax residency. In some circumstances this also includes the tax residency, nationality or citizenship of persons who are deemed to have control over the entity, such as trustees.
- AEOI is a term that covers Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS). These regulations are a commitment made by governments to exchange information about financial accounts held by taxpayers in another participating country.



### **Completion of the tax declaration is compulsory**

- If any information is missing or incomplete, your instruction to us will be delayed and cause the entity to become reportable.
- For further information of AEOI regulations, please refer to the Q&A on our website, visit [quilter.com](https://www.quilter.com) and search 'Tax Declaration Questions and Answers'.

### *Part 1 - The entity*

#### *Legal Entity Identifier (LEI)*

- An LEI is a 20-character code used to track the identity of any entity entering into a transaction via a stock exchange.
- This is only applicable where the entity has, or is applying for, a Collective Investment Account (CIA) which holds Exchange Traded Instruments (ETIs).
- Failure to provide the entity's LEI will delay your instruction.

#### *Entity Type*

Entity type	Description
<b>Trust</b>	Non-Professionally Managed A trust where all trustees are individuals, eg, family and friends of the settlor. This also applies where a professional individual (such as a solicitor) has been personally appointed as a trustee.
	Professionally Managed <i>(by a corporate entity acting as trustee)</i> A trust where at least one trustee is a corporate entity which provides professional trustee management services.
<b>Company/Partnership</b>	Non-Trading Company A company where the majority of the entity's activities, assets and income are related to holding or making investments.
	Trading Company A company (including partnerships) where the majority of the entity's activities, assets and income are related to the provision of goods and services.
<b>Registered Charity</b>	Investment Entity A charity where 50%+ income/assets are held through investment activity.
	Not-for-profit charity Assets and income applied for charitable purposes only.
<b>Club/Association</b>	Includes sporting/hobby clubs and religious groups, not otherwise registered as a charity, incorporated or established by trust deed. Assets and income are applied for the purpose for which the organisation was established.

*continued*

Entity type		Description
Registered Pension Scheme	Non-Professionally Managed	A pension scheme where the trustee is not a corporate entity providing professional pension trustee services, eg where a scheme member or employer manages the scheme.
	Professionally Managed <i>(by a corporate entity acting as trustee)</i>	A pension scheme where the trustee is a corporate entity providing professional pension trustee services.
Insurance Company		Providers of onshore or offshore investment bonds, where the Quilter CIA will be held as an asset of the bond.
Other		<p>If the entity is not covered by the types listed above, please explain in Part 1 the nature of the entity and how it is classified under FATCA/CRS.</p> <ul style="list-style-type: none"> <li>- Provide a GIIN if applicable.</li> <li>- If the entity is a Passive Non-Financial Entity, you must also complete Parts 2 and 3.</li> <li>- Part 4 must be completed in all cases.</li> </ul> <p>We may request additional information before proceeding with your instruction.</p>

### Global Intermediary Identification Number (GIIN)

- We have requested a GIIN if your entity type is usually classed as a 'Financial Institution' under FATCA regulations, or has a trustee, which is itself a Financial Institution.
- Financial Institutions are required to register for a GIIN and comply with FATCA regulations.
- If the entity or trustee does not have a GIIN you must instead state the entity's classification under FATCA. For example some Financial Institutions also fall under the classification of 'Exempt Beneficial Owner'.



**For guidance, please refer to the FATCA agreement for your jurisdiction:**  
<https://home.treasury.gov/policy-issues/tax-policy/foreign-account-tax-compliance-act>

### Part 2 - Tax residency

#### The entity's Tax Identification Number (TIN)

A TIN is a number used by the entity when reporting/registering with the tax authority. Common examples are given below.

Jurisdiction	Trust	Company
UK	<p><b>Unique Tax Reference (UTR)</b> issued when registering a taxable trust and used for trustee tax returns.</p> <p>If registering a non-taxable trust you will be issued with a <b>Unique Reference Number (URN) - Enter this instead.</b></p>	<b>Unique Tax Reference (UTR)</b> issued when incorporated and used for filing company accounts.
Jersey	Revenue Jersey issues all registered entities with a 10-digit tax identification number.	
Guernsey	Guernsey does not usually issue TINs to trust entities.	Company registration number issued by the Guernsey Registry usually between 1 and 6 digits.
Isle of Man	Tax reference number issued when registering with the income tax division.	





## Part 3 - Controlling persons

You must identify any controlling person who is a national, citizen or tax resident of a country other than the UK.

### What is a controlling person?

- A controlling person is any individual who has influence or control over the entity or has a majority ownership interest in an entity.
- To help you, we've identified the persons who meet this description under the regulations. However, if the entity has any other controlling persons, you must include these too.

Entity	Controlling persons
<b>Trust</b>	<ul style="list-style-type: none"><li>- Settlor (if living at the time of completion)</li><li>- Trustees</li><li>- Protector</li><li>- Any beneficiary that:<ul style="list-style-type: none"><li>• has an absolute interest in the trust fund (bare trust)</li><li>• is the life tenant (interest in possession trust)</li><li>• is in receipt of capital or income from the trust (or will be when the account is set up)</li><li>• has influence or control over the entity</li></ul></li></ul>
<b>Company</b>	<ul style="list-style-type: none"><li>- The directors</li><li>- Any shareholder with 25%+ share holding</li><li>- Any shareholders with voting rights</li></ul>



You only need to provide details of controlling persons who are national, citizen or tax resident in a country other than, or addition to, the UK.

- **National** and **Citizen** may have different meanings under local law. However, they usually apply to a person who has the right to live or work in a country.
- **Tax resident** refers to a person who is resident or deemed resident in a country for the purpose of reporting tax. Their status may be affected by the amount of time spent in a country or whether they're considered a national or citizen.

A person can be a national, citizen or tax resident of more than one country. If you are unsure seek suitable advice.

### Tax Identification Number (TIN) for controlling persons

- A TIN is a number issued by the country's tax authority, usually automatically and on becoming resident in the country.
- Common examples of TIN types are given below:

Jurisdiction	Type of TIN
<b>UK</b>	National Insurance Number - Issued by HM Revenue & Customs
<b>Jersey</b>	Either: <ul style="list-style-type: none"><li>- Social Security Number</li><li>- Tax Identification number</li></ul> Issued by Revenue Jersey
<b>Guernsey</b>	Either: <ul style="list-style-type: none"><li>- Social Security Number - Issued by the Guernsey Revenue Service</li><li>- National Insurance Number - Issued by HM Revenue &amp; Customs (UK)</li></ul>
<b>Isle of Man</b>	Either: <ul style="list-style-type: none"><li>- Tax Reference Number - Issued by the Income Tax Division</li><li>- National Insurance Number - Issued by the Income Tax Division or HM Revenue &amp; Customs (UK)</li></ul>



For guidance on TINs for other countries see:

[www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers](http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers)

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Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years. Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB).

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### Using the editable fields?

To ensure the information is saved correctly, we recommend you save the form to your desktop before you start completing the required fields.

## Confirmation of Verification of Identity (CoVI) - Entities

– Collective Investment Account (CIA) and Collective Investment Bond (CIB)

For use by financial advisers only

### With this form you can:

- provide verification of identity for the entity types listed below\* and their associated parties\*\*  
\*Entity types include: Trust; Company/Partnership; Registered Charity; Registered Pension Scheme; Insurance Company; Club/Association (such as a sports, hobby or religious group, which is not registered as a charity, limited company, or a trust).  
\*\*Associated parties to be verified are listed in the guidance notes at the end of this form.

### It should not be used:

- if you are not a financial adviser, however you can confirm the identity of an entity and associated parties by sending documents outlined in our acceptable proof of identification guide. Visit [quilter.com](https://quilter.com) and search 'acceptable proof of identification'.
- to confirm the identity of individuals, for which there is a separate CoVI available from our website [quilter.com](https://quilter.com)
- to verify the identity of CashHub investors, which is subject to a separate process.

We regularly update our forms; you can confirm that this **September 2024** version is the latest by checking our website [quilter.com](https://quilter.com)



### This form is required when:

- placing a new or existing account into trust
- applying for a new account on behalf of one of the above types of entity
- when adding new trustees or signatories to an existing account.



- Using this form allows you, in your role as financial adviser, to confirm that you have obtained evidence to verify the identity of the entity\* and associated parties\*\*, as set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group (JMLSG).
- Unless indicated, you do not need to send copies of the evidence you have obtained but must be able to produce it when requested by Quilter.



### Completing this form

- Use BLOCK CAPITALS and blue or black ink. For dates, please use the format day/month/year (DD/MM/YYYY).



- If you are a trustee, you must also provide the 'proof of registration' document for your trust. Please see the guidance at the end of this form for details.



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[quilter.com/Adviser-Prompt](https://quilter.com/Adviser-Prompt)



OR

#### Email

Send your scanned form(s) securely by email to:

[ask@quilter.com](mailto:ask@quilter.com)



Alternatively, you can send your form(s) by post to: Quilter, SUNDERLAND, SR43 4JP.



## Part 1 – The entity

### COMPLETE THIS SECTION IN ALL CASES

Customer Reference	<input type="text" value="A"/> <input type="text" value="C"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Entity name	<input type="text"/>
	<i>(This is also the name of the account holder)</i>
Type of entity	Trust      Company/Partnership      Club/Association Charity      Pension Scheme      Insurance company
Email address	Telephone
Registered address <i>(UK, Isle of Man, Guernsey or Jersey)</i>	<input type="text"/>
	Postcode
Correspondence address <i>(if different from above)</i>	<input type="text"/>
	Postcode
Registration/reference for the entity <i>(if applicable)</i>	Give the registration number provided by the governing body (if any), eg Trust Registration Number, Registered Charity Number, Pension Scheme Reference (PSTR), Company Registration Number. <input type="text"/>

## Part 2 – Associated parties



The associated parties to be verified are listed in the guidance notes at the end of this form.

### COMPLETE THIS SECTION FOR EACH ASSOCIATED PARTY

► Use Part A if the associated party is an individual, or Part B if it is another entity.

#### Part A - Individual

The associated party is a:	Trustee	Beneficiary	Director/Partner	Shareholder	
	Club Officer/Signatory	Other ► <i>please specify</i>			
Title	Mr	Mrs	Miss	Ms	Other ► <i>Please specify</i>
First name(s)	<input type="text"/>				
Surname	<input type="text"/>				
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Email address	<input type="text"/>	Telephone	<input type="text"/>		
Permanent UK residential address	<input type="text"/>				
					Postcode

The associated party is a:	Trustee	Beneficiary	Director/Partner	Shareholder	
	Club Officer/Signatory	Other ► <i>please specify</i>			
Title	Mr	Mrs	Miss	Ms	Other ► <i>Please specify</i>
First name(s)	<input type="text"/>				
Surname	<input type="text"/>				
Date of birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Email address	<input type="text"/>	Telephone	<input type="text"/>		
Permanent UK residential address	<input type="text"/>				
					Postcode



If there are more than four associated parties, please provide the same information for any additional parties by using a copy of this page.

**The associated party is a:**

Trustee      Beneficiary      Director/Partner      Shareholder  
 Club Officer/Signatory      Other ▶ *please specify*

Title      Mr      Mrs      Miss      Ms      Other ▶ *Please specify*

First name(s)

Surname

Date of birth

Email address  Telephone

Permanent UK residential address

Postcode

**The associated party is a:**

Trustee      Beneficiary      Director/Partner      Shareholder  
 Club Officer/Signatory      Other ▶ *please specify*

Title      Mr      Mrs      Miss      Ms      Other ▶ *Please specify*

First name(s)

Surname

Date of birth

Email address  Telephone

Permanent UK residential address

Postcode

**Part B - Associated party is a different entity**

**Type of entity**

Company providing professional trustee services  
 Other ▶ *please specify*

Name of entity

Email address  Telephone

Registered address

Postcode

Company registration number



Please provide an authorised signatory list for the entity - see guidance notes.



## Part 3 – Trust registration

### THIS SECTION APPLIES TO ALL TRUSTS - all other entities continue to section 4.

All UK resident 'express' trusts are required to be registered with HM Revenue & Customs' (HMRC) Trust Registration Service (TRS). To meet anti-money laundering requirements you are required either to provide the 'Proof of Registration' document or confirm on behalf of the trustees that the trust is exempt.

#### Please tick one of the following

**A new trust has been created using a Quilter draft trust deed (includes the CIA Designated Account Request form) to be applied to a new or existing account.**

*The trustees must register the trust and you must send Quilter the proof of registration document within 90 days of the declaration date on the deed. You may provide the proof of registration document with this form if the trust is already registered.*

**An existing trust is applying for a new account**

*You must include the proof of registration document with this form.*

**An account is to be assigned/transferred to the trustees of an existing trust**

*You must include the proof of registration document with this form.*

**An amendment has been made to an existing account held by the trust.** This includes:

- adding trustees
- a change in the personal details of a trustee or beneficiary listed on the account.

*You must include the updated proof of registration document with this form, reflecting the changes made.*

**The trust is exempt from registration**

*No proof of registration document is required.*



### Help with Trust Registration

- In accordance with HMRC guidance, we can only accept the official Proof of Registration document, which can be accessed by the trustees through their government gateway account (or registering agent). We are not permitted to accept any other document, letter or a 'declared copy' of your registration.
- The information on the proof of registration, such as trustees'/beneficiaries' name, date of birth and residency, must match that provided to Quilter. If there is a discrepancy, your proof of registration document will be rejected. If the discrepancy is not resolved Quilter must report it to HMRC
- Failure to provide a Proof of Registration document, missing or inaccurate information may result in a delay to your application/instruction and trigger a potential fine from HMRC of £5,000
- Quilter has a guide for trustees to help with registration and obtaining the Proof of Registration document.

[https://www.quilter.com/siteassets/documents/platform/guides-and-brochures/qip22888\\_registering\\_trust-guide.pdf](https://www.quilter.com/siteassets/documents/platform/guides-and-brochures/qip22888_registering_trust-guide.pdf)

**If you experience any issues when registering, or obtaining the proof of registration document, contact HMRC on 0300 123 1072.**

## Part 4 – Declaration and signature ▶ To be completed by a financial adviser



This form cannot be used to verify the identity of anyone who falls into one of the following categories:

- those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification,
- those who have been subject to Simplified Due Diligence under the Money Laundering Regulations, or
- those whose identity has been verified using the source of funds as evidence.

Evidence of identity must be provided to us for any such cases.

1. I confirm that:

- All information provided in this CoVI form is, to the best of my knowledge and belief, accurate and that the statements made herein are true.
  - I have verified the identity of the entity referred to in section 1 and all associated parties referred to in section 2 of this form, other than any listed in f) below
  - the information in this form was obtained by me in respect of those parties
  - the evidence I have obtained to verify the identity of the entity and associated parties meets, or exceeds, the standard of evidence set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group (JMLSG), and any evidence can be produced on demand
  - if any individual referred to in this form has changed address within the last three months, I can provide evidence on demand
  - I have not verified the identity of the parties named in the box below because they are exempt from verification under Money Laundering Regulations
- g) this section is signed below by the person who has seen the documentary evidence (which may include an electronic identity check).
- h) **for trusts only**, I have read the information in section 3 of this form and I have provided/will provide the Proof of Registration document as instructed.

Financial adviser's signature

Date

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Print name

Position

Email address

Telephone number

Full name of regulated firm  
(or sole trader)

Financial Services  
number



[quilter.com](https://www.quilter.com)

Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years. Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB).

Quilter Investment Platform Limited and Quilter Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively.

Registered Office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB, United Kingdom. Quilter Investment Platform Limited is authorised and regulated by the Financial Conduct Authority. Quilter 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.

# CoVI - entity applicants

## Guidance Notes

### *Associated parties*

The associated parties to be identified in this form are given in the table below. We may request additional information or supporting evidence once we have reviewed your application/instruction.

Entity Type	Associated parties	Notes
Trusts	<ul style="list-style-type: none"> <li>- All trustees</li> <li>- Beneficiaries:                             <ul style="list-style-type: none"> <li>• any who are 18+ and have an absolute interest in the trust fund</li> <li>• any who are in receipt of payments from the Collective Investment Bond / Collective Investment Account</li> </ul> </li> </ul>	You must also provide the Proof of Registration document, if applicable. The associated parties listed in this CoVI should also be listed on the proof of registration.
Private Company/ Partnership	<ul style="list-style-type: none"> <li>- All directors/partners</li> <li>- Shareholders with 25%+ shareholding (if not already covered as a director)</li> </ul>	<ul style="list-style-type: none"> <li>- The entity must be registered in the UK, Channel Islands or Isle of Man.</li> <li>- If it is not possible to verify the entity on a public register, we may request further documentary evidence, which confirms the creation and nature of the entity, along with details of individuals with influence and control over the entity.</li> </ul>
Registered Charity	Any person or other entity acting as signatory on the account with Quilter who is not: <ul style="list-style-type: none"> <li>- Listed as a trust/officer on a public register of the charities.</li> <li>- An employee of the charity.</li> </ul>	
Registered Pension Scheme	Any person or other entity acting as trustee of the scheme.  Example, Pension Scheme Trustees, or where a Scheme Member is acting as a signatory or Trustee.  You do not need to provide the names of individuals employed in the administration of the scheme.	
Clubs / Associations	<ul style="list-style-type: none"> <li>- Any person or other entity acting as signatory on the account with Quilter.</li> </ul>	
Insurance Company	There are no associated parties.	

### *Authorised signatory list*

In some cases, the details captured in this form under Anti-Money Laundering Regulations may not be those who will be instructing Quilter in the creation or administration of the account. For example, an employee of a Company, Pension Scheme, Charity or Insurance Company who is authorised in the management of the entity's assets.

In these cases you should send us an authorised signatory list. This is a document issued by the entity which contains names and sample signatures of those authorised to act on its behalf. The document may also indicate how many signatures are required to authorise an instruction.

An authorised signatory list cannot be used by a trust entity, but can be used by a professional trustee company which has been appointed as trustee.