

Application form for registered pension schemes, set up under trust

This form lets the trustees of a UK-registered pension scheme apply for an AJ Bell Dealing account.

If you're applying for a Dealing account on behalf of a Small Self-Administered Scheme (SSAS), keep in mind that we can only accept a scheme with a corporate trustee that is registered with HMRC.

You should read the AJ Bell Dealing account terms and conditions before completing this application.

Please use BLOCK CAPITALS only and blue or black ink, ticking the boxes where appropriate.

If you would like a copy of this, or any other item of our literature, in large print, Braille or in audio format, please contact us on 0345 54 32 600 or by email at help@ajbell.co.uk.

Once completed please return the form to us at the address below.

AJ Bell
4 Exchange Quay
Salford Quays
Manchester
M5 3EE

Checklist

- Fully completed application form signed by all trustees and the nominated contact if the nominated contact hasn't already signed
- Copy of trust deed
- Copy of supplemental trust deed (if applicable)
- Signing resolution for corporate trustee (if applicable)
- Identity and address verification for all controlling persons (recommended)

User guide – pension scheme Dealing account application

Helpful tips

- Each SSAS will have its own trust deed. Please provide a copy of this deed with the application form (if applicable). Each SIPP will have a master trust deed and, where the scheme member is co-trustee, there will also be a supplemental deed. Please provide copies of these with the application form (if applicable).
- Please make sure that you provide the Pension Scheme Tax Reference (PSTR) on the application form. This will allow us to classify the Dealing account as exempt from reporting under Automatic Exchange of Information agreements (notably FATCA and CRS).
- Please note that a nominated contact is required.
- The account will be set up in the name of the nominated contact. Any additional trustee details are held on file. The naming of the account will be as follows:
<Surname of nominated contact> re <name of pension scheme> e.g. Jones re AJ Bell SIPP>

Anti-money laundering requirements

We're required by law to check the identity of controlling persons, which we'll do via an electronic search. For a corporate trustee, or any controlling person regulated by the Financial Conduct Authority (FCA) or listed on the London Stock Exchange, we do not require any directors' details. Otherwise, we will need details of all controlling persons. If there are more than two controlling persons, please copy and complete page five and six as many times as you need to.

If our electronic search isn't successful, we'll need to see certified identification and address verification documents for that individual. To save time, it might be a good idea to provide these documents along with the application.

You can find out more about these requirements by visiting here: ajbell.co.uk/faq/ive-been-asked-send-you-documents-who-can-certify-them

Legal Entity Identifiers

If the pension scheme is a SSAS, we are required to obtain a reference number known as a 'Legal Entity Identifier' (LEI). This is used to identify you as the party executing trades on behalf of the SSAS. If you do not already have an LEI, you can find more information, and complete an application, on the London Stock Exchange website: lseg.com/LEI. We won't be able to process the application if this is missing.

Section A Pension scheme details

Full name of the pension scheme

Pension Scheme Tax Reference (PSTR)

Please enclose a copy of the trust deed and rules governing the pension scheme.

If applying for a SSAS please provide:

Legal Entity Identifier (LEI)

Section B Details of individual trustees

First individual trustee

Title

Dr / Mr / Mrs / Miss / Ms / Other

Surname

Forename(s)

Date of birth

National Insurance number

Permanent residential address

Postcode

Country

Telephone number

(If phone number is non-UK, provide full dialling code)

If the trustee has been resident at this address for less than three years, please provide their previous address(es) on a separate sheet of paper and attach it to this application.

Are you solely a UK National?

Yes No (If 'No', please provide your nationality below)

Nationality 1

Nationality 2

Nationality 3

Is this trustee also a member of the pension scheme?

Yes No

If you are applying on behalf of a SIPP and have answered 'Yes' to the above question, please complete the next section. If you selected 'No', please continue to second individual trustee.

Please check the nationality table at the end of this form, and provide your relevant identification number. If there's more than one option for your nationality, please let us know which identification number you're providing us with in the box below.

Identification number

Type of number (if applicable)

If your nationality isn't listed in the table, please provide your national passport number.

Passport number

If you don't have your identification number or passport number, please contact us. For more information, please visit ajbell.co.uk/nci.

Second individual trustee

Title

Dr / Mr / Mrs / Miss / Ms / Other

Surname

Forename(s)

Date of birth

National Insurance number

Permanent residential address

Postcode

Country

Telephone number

(If phone number is non-UK, provide full dialling code)

If the trustee has been resident at this address for less than three years, please provide their previous address(es) on a separate sheet of paper and attach it to this application.

Are you solely a UK National?

Yes (If 'No' please provide your nationality below)

Nationality 1

Nationality 2

Nationality 3

Is this trustee also a member of the pension scheme?

Yes No

If you are applying on behalf of a SIPP and have answered 'Yes' to the above question, please complete the next section. If you selected 'No', please continue to section C.

Please check the nationality table at the end of this form, and provide your relevant identification number. If there's more than one option for your nationality, please let us know which identification number you're providing us with in the box below.

Identification number

Type of number (if applicable)

If your nationality isn't listed in the table, please provide your national passport number.

Passport number

If you don't have your identification number or passport number, please contact us. For more information, please visit ajbell.co.uk/nci.

Section C corporate trustee details

Name of corporate trustee

Registered address

Postcode

Country

Operating address (if different from above)

Postcode

Country

Company registration number

Country of registration/incorporation

Telephone number

(If phone number is non-UK, provide full dialling code)

FCA registration number

LSE ticker code

Please provide a copy of the authorised signatory mandate for the corporate trustee. This information is not required if the corporate trustee is an AJ Bell group company.

Section D corporate trustee - details of controlling persons

The controlling persons of a corporate trustee may be a person or entity that has significant influence or control over the entity that is applying for the account. This may include owners, directors, partners, members of Boards of Directors or equivalent managing bodies of committees and other senior managers who are able to influence (or benefit from) the entity. More information on how to identify controlling persons (also known as 'persons with significant control') can be found on this [gov.uk website](https://www.gov.uk).

If a company is regulated by the FCA or listed on the London Stock Exchange, we do not require any directors' details. Otherwise, we need to check all controlling persons. If there are more than two controlling persons, please copy and complete this page as many times as required.

If any of the controlling persons has been at the address shown for less than three years, please provide their previous address on a separate sheet and attach to this application.

Complex structures

If there is an ownership chain, and a controlling person is another limited company, please provide full details of the Company and details of the limited company's controlling persons until the controlling person is an individual.

For a complex structure, it's also helpful if you could provide a structure chart for reference. Please provide one for each company, in order of percentage shareholding on page 14 of this form.

First controlling person

Title

Dr / Mr / Mrs / Miss / Ms / Other

Surname

Forename(s)

Date of birth

Permanent residential address

Postcode

Country

Daytime telephone number

(If phone number is non-UK, provide full dialling code)

Are you solely a UK National?

Yes (If 'Yes' please continue to second controlling person)

No (If 'No', please provide your nationality below)

Nationality 1

Nationality 2

Nationality 3

Second controlling person

Title

Dr / Mr / Mrs / Miss / Ms / Other

Surname

Forename(s)

Date of birth

Permanent residential address

Postcode

Country

Daytime telephone number

(If phone number is non-UK, provide full dialling code)

Are you solely a UK National?

Yes (If 'Yes' please continue to complex structures)

No (If 'No', please provide your nationality below)

Nationality 1

Nationality 2

Nationality 3

Section E Details of scheme administrator

Name of scheme administrator

If the scheme administrator's address is different to the corporate trustee's, then please complete the address below:

Operating address (if different from above)

Postcode

Country

Telephone number

(If phone number is non-UK, provide full dialling code)

Email address

FCA registration number

LSE ticker code

Section F Details of pension scheme members

Please provide details of any individual who is a pension scheme member but who is not a trustee. (For example a SIPP member who is not a co-trustee of their individual SIPP arrangement.)

First additional pension scheme member

Title	Surname
<input type="text" value="Dr / Mr / Mrs / Miss / Ms / Other"/>	<input type="text"/>
Forename(s)	
<input type="text"/>	
Date of birth	National Insurance number
<input type="text"/>	<input type="text"/>
Permanent residential address	
<input type="text"/>	
<input type="text"/>	
Postcode	Country
<input type="text"/>	<input type="text"/>
Telephone number	(If phone number is non-UK, provide full dialling code)
<input type="text"/>	

If the additional pension scheme member has been resident at the address shown for less than three years, please provide their previous address on a separate sheet of paper and attach it to this application.

Are you solely a UK National?

Yes No (If 'No', please provide your nationality below)

Nationality 1

Nationality 2

Nationality 3

If you are applying on behalf of a SIPP please complete the next section, then proceed to second additional pension scheme member.

Please check the nationality table at the end of this form, and provide your relevant identification number. If there's more than one option for your nationality, please let us know which identification number you're providing us with in the box below.

Identification number	Type of number (if applicable)
<input type="text"/>	<input type="text"/>

If your nationality isn't listed in the table, please provide your national passport number.

Passport number

If you don't have your identification number or passport number, please contact us. For more information, please visit ajbell.co.uk/nci.

Second additional pension scheme member

Title

Dr / Mr / Mrs / Miss / Ms / Other

Surname

Forename(s)

Date of birth

National Insurance number

Permanent residential address

Postcode

Country

Telephone number

(If phone number is non-UK, provide full dialling code)

If the additional pension scheme member has been resident at the address shown for less than three years, please provide their previous address on a separate sheet of paper and attach it to this application.

Are you solely a UK National?

Yes

No (If 'No', please provide your nationality below)

Nationality 1

Nationality 2

Nationality 3

If there are more than two additional pension scheme members, please provide details of the other members on a separate sheet and attach to this application.

If you are applying on behalf of a SIPP please complete the next section, then proceed to section G.

Please check the nationality table at the end of this form, and provide your relevant identification number. If there's more than one option for your nationality, please let us know which identification number you're providing us with in the box below.

Identification number

Type of number (if applicable)

If your nationality isn't listed in the table, please provide your national passport number.

Passport number

If you don't have your identification number or passport number, please contact us. For more information, please visit ajbell.co.uk/nci.

Section G Nominated contact

Please let us know who you would like to be your nominated point of contact for your Dealing account. This will be an individual trustee or a pension scheme member. You authorise us to provide all statements, copy documents and requests for instructions to this individual, who will be responsible for onward communication to, and providing instructions to us on behalf of, the trustees and members.

Keep in mind that the nominated contact, not the first individual trustee, will be the named person on this account.

The nominated contact will need to have their own individual AJ Bell account to allow online access to the registered pension scheme Dealing account for dealing purposes. Please confirm their personal account number in the box below. Communications with the nominated contact will usually be by email or secure message.

Please tick one box below to indicate who is to be the nominated contact:

Individual trustee	<input type="checkbox"/>	Name	<input type="text"/>
Pension scheme member	<input type="checkbox"/>	Name	<input type="text"/>
Individual AJ Bell account number for the nominated contact		<input type="text"/>	

Section H Payment details

In order to make cash withdrawals from your Dealing account, please provide AJ Bell with details of the bank or building society account into which you would like the monies to be paid. This must be in the name of the pension scheme, the corporate trustee or the scheme administrator.

Account holder's name

Bank/building society account number

Sort code

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Section I How we use your information

Data privacy statement

We'll use the information you provide to check your identity – and the identity of anyone else whose details you provide in this form as a controlling person – with credit reference and fraud prevention agencies. These agencies will record our checks and will make that record available so others are able to verify your identity.

So we can thoroughly check the available data, we verify your identity using scoring methods. If you supply false or inaccurate information and we suspect fraud, we'll inform the fraud prevention agencies.

If we can't verify your identity by electronic means, we may ask you for additional information.

We will also verify information against Companies House records. Where information provided on the application differs to the information held by Companies House, we may request evidence to support the extent of control the person/entity listed has over the company for which the account is being opened. Where discrepancies are identified between the information provided on the application form(s) and the information held by Companies House, we may need to report these discrepancies to Companies House. Any missing information will mean that the application process is delayed.

Depending how the data has been processed, and subject to some exemptions, you have a number of legal rights about your personal information. These include:

- To access personal information
- To rectify/erase personal information
- To restrict the processing of your personal information
- To transfer your personal information
- To object to the processing of personal information
- To object to how we use your personal information for direct marketing purposes

- To obtain a copy of personal information safeguards used for transfers outside your jurisdiction
- To lodge a complaint with your local supervisory authority

To exercise these rights (or request details of the credit reference and fraud prevention agencies from which we obtain information and record information about you), please contact us. For more information see our privacy policy.

How we communicate with you

Being a DIY investor is all about staying up to date. The good news is: we can help you.

AJ Bell would like to send you emails and other electronic communications to help you on your investing journey. Not only can you expect weekly market news and free articles from Shares magazine, but you'll be the first to hear about exclusive customer offers – including regular prize draws and invites to our popular investing events.

If you receive anything you don't like, don't worry: you can manage the type of communications you receive and unsubscribe at any time by updating your communications preferences in the 'my account area' of our website.

I/we would like to receive communications including investment updates, weekly market news, exclusive customer offers and free content from Shares magazine.

Yes

No

Section J Declarations and applications

Please read the following carefully before you sign.

I/we declare that:

1. I am/we are aged 18 years, or over, and resident in the UK.
2. The declarations and information contained in this form are true, correct, complete and not misleading to the best of my/our knowledge and belief, and I/we undertake to notify AJ Bell of any changes without delay.
3. I/we confirm that I/we have been recommended and given the opportunity to read, ensure that I/we understand and keep copies of the AJ Bell Dealing account terms and conditions and charges and rates and I/we understand that the details contained in those documents and this application constitute the agreement between me/us and AJ Bell.
4. All payments made, and to be made, to the AJ Bell Dealing account, are paid out of money and assets held under the pension scheme named on page one.
5. The pension scheme applying for this account is registered with Her Majesty's Revenue and Customs under Chapter 2 Part 4 of Finance Act 2004. As such, it will be a non-reporting Financial Institution under the International Tax Compliance Regulations 2015, as amended from time to time.
6. The controlling persons have authorised me/us to complete and submit this application on their behalf I/we have received positive affirmation of all controlling persons' understanding of, and agreement to, the above declaration and for you to conduct the necessary identity and information checks with credit reference and fraud prevention agencies, the TRS and/or Companies House (as appropriate).
7. I/we confirm that the trust deed and rules governing the operation of the pension scheme named on page one give me/us the power to establish a Dealing account with AJ Bell and I/we declare that I/we will operate the AJ Bell Dealing account in accordance with the trust deed and rules (as amended from time to time) and, in particular, I/we will not instruct the making of any investment which is not permitted by the trust deed and rules.
8. AJ Bell is authorised to make whatever checks are necessary to verify my/our identity and the identity of the pension scheme as required to comply with the Money Laundering Regulations.
9. AJ Bell is authorised to provide information to the nominated contact shown above on behalf of the trustees and to accept instructions given by the nominated contact as if they had been given by all of the trustees, without the need to obtain any further authority or make any further enquiry, including instructions for the purchase and sale of, or otherwise dealing on, investments and instructions for cash withdrawals (which may only be made to an account in the name of the pension scheme trustees).
10. I/we will inform AJ Bell as soon as it is reasonably possible if there is a change in the trustees or I/we wish to change the nominated contact.

Important notes

This application form must be signed by all trustees, including two directors or one director and the company secretary for the corporate trustee, unless it is signed in accordance with the company's signing resolution.

If there isn't a company secretary, the sole director must sign in the presence of a witness who needs to provide their name, occupation and address.

If the nominated contact isn't signing as an individual trustee, director or company secretary they must sign in the nominated contact signature section below.

All signatories must ensure that they have read the appropriate declarations before signing.

Individual trustees of the pension scheme

Name	Date
<input type="text"/>	<input type="text"/>

Signature

Name	Date
<input type="text"/>	<input type="text"/>

Signature

Corporate trustee

Name	Position
<input type="text"/>	<input type="text"/>

Signature	Date
<input type="text"/>	<input type="text"/>

Name	Position
<input type="text"/>	<input type="text"/>

Signature	Date
<input type="text"/>	<input type="text"/>

Nominated contact - (if the nominated contact isn't signing as an individual trustee, director or company secretary of the corporate trustee)

Name

Signature	Date
<input type="text"/>	<input type="text"/>

Witness signature – (if required)

Witness signature	Date
<input type="text"/>	<input type="text"/>

Name	Occupation
<input type="text"/>	<input type="text"/>

Address

Postcode	Country
<input type="text"/>	<input type="text"/>

If there are further trustees, please copy and complete this section as many times as is required.

Next steps

Once completed and signed the form should be returned to AJ Bell 4 Exchange quay, Salford Quays, Manchester M5 3EE. Alternatively, you can email a scanned copy to newaccounts@ajbell.co.uk.

We'll aim to process your completed application form 3 working days after we receive it. If we need any more information to process the application, we'll be in contact during this time.

Once the account is ready, we'll email the nominated contact to let them know. If you've any queries in the meantime, you can contact us at newaccounts@ajbell.co.uk.

Nationality

Belgium	Belgian National Number (Numéro de registre national – Rijksregisternummer)	Liechtenstein	National Passport Number or National Identity Card Number
Bulgaria	Bulgarian Personal Number	Lithuania	Personal code (Asmens kodas)
Croatia	Personal Identification Number (OIB – Osobni identifikacijski broj)	Malta	National Identification Number or National Passport Number
Cyprus	National Passport Number	Netherlands	National Passport Number or National identity card number
Czech Republic	National identification number (Rodné číslo) or Passport Number	Norway	11 digit personal ID (Foedselsnummer)
Denmark	Personal identity code 10 digits alphanumerical: DDMMYYXXXX	Poland	National Identification Number (PESEL) or Tax Number (Numer identyfikacji podatkowej)
Estonia	Estonian Personal Identification Code (Isikukood)	Portugal	Tax number (número de identificação fiscal) or National Passport Number
Finland	Personal identity code	Romania	National Identification Number (Cod Numeric Personal) or National Passport Number
Greece	10 DSS digit investor share	Slovenia	Personal number (Rodné číslo) or National Passport Number
Iceland	Personal Identity Code (Kennitala)	Slovakia	Personal number (Rodné číslo) or National Passport Number
Italy	Fiscal code (Codice fiscal)	Spain	Tax identification number (Código de identificación fiscal)
Latvia	Personal code (Personas kods)	Sweden	Personal identity number

If you do not have the identification number required please contact us. If you are a national of more than one country please provide nationality and your identification number on a separate sheet and attach it to this application. For more information please visit ajbell.co.uk/nci.

Complex Structures

Please provide a structure chart for complex ownership structures, especially where any controlling person is another company, including company and FCA registration numbers and LSE ticker code (as applicable).

