

Stocktrade Election form

For use with Your Future SIPP, MasterSIPP, SimSIPP, SmartSIPP and Suffolk Life SIPP.

This form should be completed if you wish to deal in stock market based investments using Stocktrade.

Please return the signed original of this form to the Investment Operations team at the above address or via secure message on our online portal.

1 Accessing our services

If you experience difficulties accessing any of our services due to personal circumstances, we may be able to make some adjustments to help you. Please provide us with details of your needs so we can assess any reasonable adjustments that we can make for you.

The information you provide will help us assess your requirements and make any reasonable adjustments to improve how we work and communicate with you.

We will require your express consent to process this information, and to enable us to share this data with other third parties where appropriate, e.g. investment firms or advisers, to help us, and others to continue to meet your needs. Please could you kindly provide this below.

☐

I agree to my information being processed by Curtis Banks Group, to include being shared and gathered between relevant third parties.

Please refer to our Privacy Information Notice for Clients, should you require further guidance on how we collect use and protect your personal information. This can be found on our website www.curtisbanks.co.uk or please ask your adviser or us for a copy.

Your consent to share personal information is entirely voluntary and you may withdraw your consent at any time. Should you have any questions about this process, or wish to withdraw your consent, please contact the SIPP Support Team on 01473 296969 or sippsupportteam@curtisbanks.co.uk.

2 Request origin

Client's name

Client number

Plan number(s)

3 Client section

This section is mandatory, please ensure it is fully completed before returning this form to Curtis Banks.

Trading options

Please specify who you would like to have access to this account:

☐

I wish to have sole trading access to this account.

☐

I permit my adviser as detailed in section 5 of this form to trade through this account. (Please ensure that section 5 is fully completed by your adviser.)

☐

I wish both my adviser as detailed in section 5 of this form and myself to be able to trade through this account. (Please ensure that section 5 is fully completed by your adviser.)

Please give the following information for online trading:

☐

I wish to be able to trade through this account

☐

I wish to have view only access

Please give the following information if you have selected either of the above options:

Your email address

Information & communications

The following information and communications will be available online via the Stocktrade web portal. Please indicate below if you also wish to receive paper copies of any of the following:

☐

Contract notes

☐

Statements

☐

Corporate action notifications

Who should Stocktrade contact with corporate actions?

☐

You

☐

Your adviser

3 Client section (continued)

Funding

Please specify the amount you wish to have initially transferred to Stocktrade once the account has been established. Where additional funds are received, we will require further instructions:

Amount to be transferred to Stocktrade: £

Please send this amount via:

☐ Faster Payments or CHAPS (same day transfer, charges may apply - please refer to the relevant Schedule of Fees)

☐ BACS (three day transfer, no fees apply)

It is your responsibility to ensure cleared cash is available in your main SIPP bank account at Barclays prior to funds being transferred. Should sufficient cleared cash not be available we will contact you or your adviser (where applicable). Curtis Banks will endeavour to arrange the transfer of cash at the earliest opportunity upon receipt of confirmation from Stocktrade that your account has been established.

If you do not complete this section we will write to you or your adviser (where applicable) to confirm your account is established.

Transfer of cash to the investment firm

☐ Receipts of transfers, contributions and tax reclaims from contributions are to be transferred to Stocktrade. Please note that ticking the above will override any previous instructions provided to Curtis Banks.

For the effective operation of your SIPP, a minimum balance of £500 if you only invest via our Investment Partners (otherwise £1,000) will be retained in the SIPP bank account. Additionally, sufficient funds will be retained to cover the minimum balance, and known outgoings due in the next three months. These could include transactions such as: our fees, adviser charges, income and pension payments, loan repayments, business rates, and property insurance.

☐ All monies received are to remain in my SIPP bank account pending investment instructions.

Please note: this will be the default option if neither of the above are selected.

4 Client's declaration

- I hereby request that Stocktrade, be appointed as the investment manager for my Plan or such part of it as I set out in this form. I understand that to give effect to this appointment, Curtis Banks may enter into formal agreements with Stocktrade and I acknowledge that any costs associated with the appointment of Stocktrade and any ongoing fees will be deducted from the Plan.
- I confirm that I have had access to and agree to the Stocktrade terms of service which are available on request for SIPPs provided by Curtis Banks Pensions.
- I am aware that Stocktrade will carry out their own electronic checks to verify my identity and address. I understand that Curtis Banks or Stocktrade may need to contact me or my adviser for further information where this is unsuccessful.

Print name

Signature of client

Date

5 Adviser section (for completion where applicable)

Adviser firm name	<input type="text"/>
Financial Services Register reference number for organisation	<input type="text"/>

Where the client has elected to use Stocktrade and has given you, as their adviser, authority to trade on the account:

Please specify your existing Stocktrade username for online dealing:

Alternatively, if you do not currently have an existing online dealing account, please provide the following information:

Your Full Name

Your Date of Birth

Your Email Address

Declaration

- The organisation detailed in Section 5 of this form authorises both Curtis Banks and Stocktrade to accept instructions from any of their employees or agents in relation to this account.
- The organisation detailed in Section 5 of this form accepts that instructions to Stocktrade to purchase or sell investments must not be given by a third party appointed by the organisation or the client.
- The organisation detailed in Section 5 of this form accepts responsibility to ensure that instructions they, or any of their employees or agents give to Stocktrade to purchase investments will be in accordance with the latest available Schedule of Allowable Investments. This includes the requirement not to purchase investments that would give rise to a tax charge or liability as taxable property as defined under Part 2 Schedule 29A of the Finance Act 2004. If a non-allowable investment is purchased the organisation agrees to indemnify Curtis Banks for any loss or liability, including any tax charge or penalty levied by HM Revenue & Customs on Curtis Banks, as a direct result of the plan holding such an investment.

Name

Signed

Position in organisation

Date

Curtis Banks Pensions,
153 Princes Street,
Ipswich, IP1 1QJ
T 0370 414 7000
F 0370 414 8000
curtisbanks.co.uk

Call charges will vary. We may monitor and record calls.

If you're contacting us by email, please remember not to send any personal, financial or banking information because email is not a secure method of communication.

Curtis Banks Pensions is a trading name of Suffolk Life Pensions Limited.

Suffolk Life Pensions Limited is a company registered in England & Wales (registered number 1180742) and is authorised and regulated by the Financial Conduct Authority (number 116298). Suffolk Life Annuities Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority (number 110468) and is registered in England & Wales (Number 1011674). The registered address of both companies is 153 Princes Street, Ipswich, Suffolk IP1 1QJ. SL029.202308 August 2023

