PENSION PROVIDER THIRD PARTY INVESTMENT ACCOUNT (TPIA) APPLICATION

This form is to be used by a pension scheme to open a Third Party Investment Account on the Embark platform.

Note: If this is the first time the pension provider or scheme administrator for the pension scheme has opened a Third Party Investment Account on the Embark platform, you may also need to complete the pension provider set up.

SECTION 1. NEW PENSION SCHEME DETAILS

PENSION SCHEME DETAILS.

Pension Provider Name:

Note: A Pension Provider can only open a Third Party Investment Account where they have already signed the Third Party Investment Account Pension Provider setup form. A list of these can be found online at embarkplatform.co.uk

DESIGNATION OR CURRENT ACCOUNT REFERENCE.

Existing Account Number:

Existing Account Name:

Note: This reference information will be added to the Third Party Investment Account that is opened to assist you in identifying and reconciling the account with your own records.

SECTION 2. MEMBER / MEMBER TRUSTEE DETAILS

Please provide us with the following information in respect of the pension scheme member or member trustee.

MEMBER / MEMBER TRUSTEE DETAILS.

Title: First and Middle Name(s):

Surname:

Email:

Residential Address:

Telephone Number: Postcode:

National Insurance No.:

Date of Birth: D D M M Y Y Gender:

Country of Tax Residence*: Country of Birth:

*Note: Only UK tax residents can open a Third Party Investment Account with Embark. Town of Birth:

Country of Citizenship: Nationality:

A Crown servant or in the armed forces?

For information on how we process and manage your client’s personal data, please refer to our Group Privacy Notice on our website.

SECTION 3. FUNDING THE INVESTMENT

Please provide the details of any initial lump sum investment amount.

All payments from the pension scheme should be paid via Direct Credit upon receipt of confirmation that the account has been opened. Please ensure that the full reference is completed including the sub account reference, for example EM2001221–001.

Account: 21862465
Sort Code: 23-05-80
Client Reference: e.g. EM2001221-001

If we are unable to match funds to the client's account the funds will be returned.

Amount To Be Paid:

SECTION 4. INVESTMENT DETAILS

Investments can be made via the Embark platform upon receipt of confirmation of account opening.

INCOME OPTIONS.

Please choose from one of the following options:

Retain as Product Cash (any income will be held as cash in the account):

Re-Invest (any income will be reinvested into the generating fund)
Note: investment income from ETIs, receipts will always be held in the cash account.

SECTION 5. ADVISER DETAILS

Adviser Name:

Company Name:

FCA Reference:

Registered Office Address:

Postcode :

Is the financial adviser and firm registered to use the Embark platform?

Yes No

If you are not yet registered as an adviser on the Embark platform, please visit embarkplatform.co.uk and complete the registration process before submitting this application.

SECTION 6. ADVISER REMUNERATION

Initial Adviser Fee: %   Amount (£):

Ongoing Adviser Fee: %   Amount (£):

Please indicate Payment Frequency:

Monthly   Quarterly   Yearly

SECTION 7. REGULAR PAYMENT OUT

Regular payment arrangements can be setup via the Embark platform upon receipt of confirmation of account opening.

SECTION 8. DECLARATION

The Pension Provider confirms it has received a copy of the Embark platform Client Terms and Conditions together with the Embark TPIA Questions and Answers document, the Client Terms of Use and the Account Charges Guides and consents to terms upon which the Embark TPIA is offered to the pension scheme by the Embark platform as set out in these documents.

The Pension Provider confirms the information provided in this Third Party Investment Account Application Form is true, accurate and complete.

Pension Provider signatory 1

Signed*:

Name:

Position:

Date: D D M M Y Y

* Original signature required

Pension Provider signatory 2

Signed*:

Name:

Position:

Date: D D M M Y Y

* Original signature required