



Asset Request Form

The Novia Investments List details the wide range of assets available through the Novia Financial platform. This includes Authorised funds (Unit Trusts, OEICs and SICAVs) and ETFs traded through Winterflood.

Please use the link to check firstly whether the asset is already available through Novia;

<http://www.novia-financial.co.uk/investments/investmentslist/>

If the asset is not available with Novia, please complete this form to request a new asset that will be reviewed by the Novia Investments team. If the product provider is not currently on the platform, the assets may take considerably longer to make available.

Please note all fields must be completed with the exception of the Business case for adding fund(s), which will be completed by your Novia Regional Sales Manager. Failure to complete will result in the request being rejected. Once completed, please email the form to your Novia Regional Sales Manager.

Information

| | |
|---|---------------------------------------|
| Date | <input type="text" value="DD/MM/YY"/> |
| Adviser name | <input type="text"/> |
| Firm | <input type="text"/> |
| Address | <input type="text"/> |
| Type of instruction (Re-Registration, New Business, etc.) | <input type="text"/> |
| Business case for adding fund(s) to the platform: | <input type="text"/> |

Asset Information

| | |
|---|--|
| Name of product provider | <input type="text"/> |
| Is manager already on the platform? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Full name of Asset | <input type="text"/> |
| Type of Asset (OEIC, UT, SICAV, ETF, Structured Product etc.) | <input type="text"/> |
| Share Class (We only accept GBP share classes) | <input type="text"/> |
| Unique Identifier – Citi Code/Sedol/ISIN | <input type="text"/> |
| Which wrapper(s) is this required for? (GIA, ISA, OSB, SIPP) | <input type="text"/> |

Fund Manager Details

| | |
|--|----------------------|
| Fund Manager name | <input type="text"/> |
| Contact name | <input type="text"/> |
| Address | <input type="text"/> |
| Phone number | <input type="text"/> |
| Email | <input type="text"/> |
| Please confirm attachment of any supporting documentation where applicable i.e. (KIID, Factsheet, Prospectus etc.) | <input type="text"/> |