



You have selected Stocktrade Cash as part of your application.

By completing this form and submitting it to Novia you are agreeing to open a Stocktrade Account which allows for trading in Equities that are not available as aggregated trades on the main platform (see the Stocktrade Adviser Guide). This additional functionality will have a cost as detailed in the Charges Schedule. **If you do not intend to trade in equities then this form is not required.**

This registration must be completed to allow trading with Stocktrade. This instruction may be submitted to Novia on your behalf by your Adviser without your signature.

If you prefer to authorise the instruction with your signature, please arrange with your Adviser to return the original form to Novia. If you need assistance completing this form please ask your Adviser or contact the Client Services Team on 0345 680 8000.

Investor Details (for Individual/Joint accounts only)

Novia Stocktrade account required for

If you are an existing Novia Investor, please include your Novia Investor number

If you wish to activate a Stocktrade account for any other wrappers you hold with Novia, please tick those applicable below.

- General Investment Account
- Stocks and Shares ISA
- SIPP
- SIPP Drawdown

Investor 1

| | |
|----------------------------|----------------------|
| Name | <input type="text"/> |
| Title | <input type="text"/> |
| Surname | <input type="text"/> |
| Forename(s) | <input type="text"/> |
| Date of Birth | <input type="text"/> |
| Correspondence Address | <input type="text"/> |
| Home Telephone | <input type="text"/> |
| Work Telephone | <input type="text"/> |
| Mobile | <input type="text"/> |
| Email | <input type="text"/> |
| Country of Birth | <input type="text"/> |
| Nationality | <input type="text"/> |
| Residency for tax purposes | <input type="text"/> |
| Domicile | <input type="text"/> |

National Insurance Number

Investor 2

Name

Title

Surname

Forename(s)

Date of Birth

Correspondence Address

Home Telephone

Work Telephone

Mobile

Email

Country of Birth

Nationality

Residency for tax purposes

Domicile

National Insurance Number

Investor 3

Name

Title

Surname

Forename(s)

Date of Birth

Correspondence Address

Home Telephone

Work Telephone

Mobile

Email

Country of Birth

Nationality

Residency for tax purposes

| | |
|---------------------------|----------------------|
| Domicile | <input type="text"/> |
| National Insurance Number | <input type="text"/> |

Investor 4

| | |
|----------------------------|----------------------|
| Name | <input type="text"/> |
| Title | <input type="text"/> |
| Surname | <input type="text"/> |
| Forename(s) | <input type="text"/> |
| Date of Birth | <input type="text"/> |
| Correspondence Address | <input type="text"/> |
| Home Telephone | <input type="text"/> |
| Work Telephone | <input type="text"/> |
| Mobile | <input type="text"/> |
| Email | <input type="text"/> |
| Country of Birth | <input type="text"/> |
| Nationality | <input type="text"/> |
| Residency for tax purposes | <input type="text"/> |
| Domicile | <input type="text"/> |
| National Insurance Number | <input type="text"/> |

Investor Details (Corporate Entity/Trust/Scheme only)

| | |
|---|----------------------|
| Novia Stocktrade account required for | <input type="text"/> |
| If you are an existing Novia Investor, please include your Novia Investor number here | <input type="text"/> |
| Full name of Corporate Entity/Trust/Scheme | <input type="text"/> |
| Legal Entity Identifier (LEI) | <input type="text"/> |
| Correspondence Address | <input type="text"/> |
| Contact name and position | <input type="text"/> |
| Telephone | <input type="text"/> |
| Email | <input type="text"/> |

Security Details

Either you or your adviser can have dealing rights on this product wrapper. The other party will be able to view transactions and Stocktrade events on this product wrapper. It is the Adviser's responsibility to ensure that the Client understands the expectations in using the Stocktrade account if the Client is set up to have trading access.

Please indicate if it is the adviser or applicant(s) requesting dealing rights for Stocktrade.

Adviser or Applicant(s)

Correspondence Details

Contract Notes, Statements and corporate action information is available via your Stocktrade account online access through secure messaging. Each time a new message is available you will receive an email alert. If you wish to opt out and receive any of this information via Post please indicate below:

Contract Note
 Statement
 Corporate action

Adviser Declaration (This section must be completed regardless of submission method)

Novia will accept the receipt of this form without a signature, **provided it is submitted through the Adviser Zone secure email service**. If you choose to sign the completed form please arrange for the original to be returned to Novia. By submitting this form you are confirming the following:

- / I declare that the information in this form is true and correct to the best of my knowledge.
- / I agree to indemnify Novia Financial Plc against all such claims or losses, including additional tax charges and fines, in the event that the information provided proves to be incorrect.
- / I understand that checks may be performed on this instruction to confirm details are correct.
- / I confirm that I have the Investor's authority to submit this instruction on their behalf.

| | |
|-----------------|----------------------|
| Surname | <input type="text"/> |
| Forename(s) | <input type="text"/> |
| Company | <input type="text"/> |
| Firm FCA number | <input type="text"/> |
| Company Address | <input type="text"/> |
| Telephone | <input type="text"/> |
| Email | <input type="text"/> |

Investor Declaration (only applicable where the Investor wishes to authorise by signature)

For Joint/Corporate/Trust Product Wrappers, where this form is being signed by the Investors, all required signatories must sign.

- / I/We declare that the information in this form is true and correct to the best of my/our knowledge.
- / I/We understand that checks may be performed on this instruction to confirm details are correct.
- / I/We understand that any delay on my/our part to act on any further verification request will delay processing the instruction and my/our failure to act will prevent processing the instruction.
- / I/We authorise Novia to make payments according to my/our instructions.

| | | | |
|-----------------------|--|------|--|
| Signatory 1 Signature | | Date | |
|-----------------------|--|------|--|

| | |
|------------------|--|
| Signatory 1 Name | |
|------------------|--|

| | | | |
|-----------------------|-----------------|------|--|
| Signatory 2 Signature | (if applicable) | Date | |
|-----------------------|-----------------|------|--|

| | |
|------------------|-----------------|
| Signatory 2 Name | (if applicable) |
|------------------|-----------------|

| | | | |
|-----------------------|-----------------|------|--|
| Signatory 3 Signature | (if applicable) | Date | |
|-----------------------|-----------------|------|--|

| | |
|------------------|-----------------|
| Signatory 3 Name | (if applicable) |
|------------------|-----------------|

| | | | |
|-----------------------|-----------------|------|--|
| Signatory 4 Signature | (if applicable) | Date | |
|-----------------------|-----------------|------|--|

| | |
|------------------|-----------------|
| Signatory 4 Name | (if applicable) |
|------------------|-----------------|

Where the investor has signed the adviser must also sign and post the original to Novia.

| | | | |
|-------------------|--|------|--|
| Adviser Signature | | Date | |
|-------------------|--|------|--|