



Non UK Residents/Nationals Investor Enquiry Form

This form is to assess whether we can accept your client. If your firm has solicited for this client or does so for any potential clients within the EEA (including promotes or advertises investment services or activities in the EEA), your firm will require appropriate permission in accordance with the national applicable law in the relevant Member States. There may be sanctions against your firm by the European Commission or Member State if you don't have authorisation. Your clients may also not be granted cover under the relevant investor compensation schemes.

Adviser Details

Adviser Name	<input type="text"/>
Adviser Firm Name	<input type="text"/>
Contact Number	<input type="text"/>

How did your firm acquire this Investor? i.e. did the Investor directly approach your UK firm, or did your firm solicit their advisory services within the Investor's country of residence? Please detail (continue over if required)

If your client is in the EEA and you have acquired them by solicitation, please detail the Member State permissions your firm holds

Investor Details

To verify the Investor, Novia will require a certified copy of their passport or driving licence. Please attach your certified copies with this questionnaire.

Full Name

Full Permanent Residential Address including Country and Post Code equivalent if applicable

<input type="text"/>	Post Code	<input type="text"/>
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Date of Birth

National Insurance number

Country and town/city of birth

Country of tax residency (please list all)

Tax Identification No. (TIN) (Where applicable, or the equivalent)

Name of tax identification number if not TIN

Nationality (please list all)

If Residency or Nationality are the USA (which includes Dual Status), or if the Investor works in the USA Novia cannot accept the application. Any Trustees or beneficiaries are also impacted.

Full Employer Name

Annual Income	<input type="text"/>	Occupation	<input type="text"/>
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Source of Wealth (how funds have been acquired)

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Does the client have their own UK bank account that we can make payments to?

Yes No

If the answer is No, Novia cannot accept this application. We do not make overseas payments.

Advice and Services

Please provide details of any UK address available for the Investor including the type of address (i.e. Correspondence or second home) and the usual frequency of visits.

	Post Code	
Frequency of visits		
Type of address		

Please describe the arrangements for providing the initial advice to your client and ongoing servicing (regular review meetings and investment rebalancing or changes). Continue below if required.

Important Information

Please note that our Terms and Conditions expect customers to be UK resident. Acceptance of any other circumstances is only agreed at our absolute discretion. All applications will be assessed individually, dependent on the information provided. It may be relevant to request further information or supporting documentation before we can make a decision for you to proceed.

We are required to report Investor tax information to HMRC and as such, there will be another form for you to complete as part of the Novia web journey declaration.

There are certain high-risk and non-cooperative jurisdictions that we cannot accept to support Financial Action Task Force (FATF) recommendations.

Any other information or continuation

Please include any other relevant information and use this section for continuation comments.