



This form is treated as an email instruction to Novia Financial plc to open a Novia Junior Stocks and Shares ISA on behalf of your client without a signature. We will then issue a written declaration and other documentation to your client to confirm the opening of their JISA.

**Please note that if the Eligible Child holds a Child Trust Fund or a Junior Stocks and Shares ISA elsewhere, it must be transferred in full as part of this application.**

Novia will accept the receipt of this application form without an Adviser 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. Please note that any Transfer Authority or Direct Debit instruction submitted as part of this application will require signatures as indicated on each form.

If you need assistance completing this application please contact the Client Services Team on 0345 680 8000.

## 1 Eligible Child Details (this is the Investor)

Title

Surname  Forename(s)

Date of birth  Male  Female

National Insurance Number (if held)  (if none held please enter NONE)

If the Eligible Child has a Child Trust Fund they will have been given a Unique Reference Number. It will be found on their annual Child Trust Fund Statement.

If a Child Trust Fund is held please provide the Unique Reference number

### Residential Address

House number/name

Street name  Town/City

County  Country

Postcode

Nationality (please list all)

### Contact details

If the Eligible Child is 16 or over, please provide their contact details

Telephone (home)  Mobile

Email

## 2 Registered Contact Details (referred to in this form as the Applicant)

This application is being made by:

The Eligible Child who is aged 16 or over and wishes to be the Registered Contact. Please use the contact details provided in Section 1. Please note the rest of this section does not need to be completed.

or

The following individual with parental responsibility for the child and wish to be the Registered Contact. Please use the contact details below.

Investor Number (required)  (for your existing Novia Wrap Account)

Title

Surname  Forename(s)

Date of birth

Relationship to Eligible Child

### 3 Initial Investments

Single of	£ <input type="text"/>	Paid by	BACS	<input type="checkbox"/>	or	Cheque	<input type="checkbox"/>
Internal Transfer of	£ <input type="text"/>	From wrapper number	<input type="text"/>				
Transfer of	£ <input type="text"/>	(estimated amount*)					

\*Please complete a JISA Transfer Authority Form for the transfer you wish to make.

### 4 Initial Investment Instruction

Unless you tell us otherwise, we automatically buy accumulation units/shares. Where accumulation units/shares have been stated but are not available, we will buy income units/shares. Where income units/shares have been stated but are not available, we will buy accumulation units/shares. All purchases are subject to sufficient cleared funds. Please ensure that your choices total 100%, otherwise your investment will be held in your Cash Facility until the choices are confirmed.

**Model name**

**OR**

ISIN/Sedol	Name of investment*	Inc/Acc	%
-	Cash (Minimum 2%)		
<b>Total</b>			<b>100%</b>

\* Please write the names in full as listed on the Novia Investments List. The list and fact sheets can be found at [www.novia-financial.co.uk](http://www.novia-financial.co.uk)

Do you wish to make the investment choice above your default selection for future investments?

Yes  No

If Yes, and you wish to have periodic rebalancing, please select frequency.

Quarterly

Annually



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## 7 Regular Investment Instruction cont...

ISIN/Sedol	Name of investment*	Inc/Acc	%
<b>Total</b>			<b>100%</b>

\* Please write the names in full as listed on the Novia Investments List. The list and fact sheets can be found at [www.novia-financial.co.uk](http://www.novia-financial.co.uk)

## 8 Adviser Charge Authorisation

Adviser Charge on Initial Investment\*  % or  £

Adviser Charge on Regular Investment\*  % or  £

Ongoing Adviser Charge\*\*  % or  £ Per annum to be paid

Monthly  Quarterly  Annually

\*Maximum Initial Adviser Charge is 5% pa of the initial and regular investment amounts.

\*\*The maximum Ongoing Adviser Charge is 2% pa of the policy value at the time of taking the charge. If a higher figure is recorded on this application, the maximum will be applied.

## 9 Adviser Declaration on behalf of the Applicant

### JISA Declaration

- > The Eligible Child named in this application will be the beneficial owner of the Product Wrapper investments
- > The Applicant is applying to open a Novia Junior Stocks and Shares ISA. They declare that they are aged 16 years of age or over
- > The Applicant is the Eligible Child or, has parental responsibility for the Eligible Child and will be the first registered contact for the Novia Junior Stocks and Shares ISA
- > The Eligible Child is resident in the UK, or is a UK Crown servant, a dependant of a UK Crown servant or is married to/in a civil partnership with a UK Crown servant
- > The Applicant can confirm the Eligible Child does not hold a Child Trust Fund or Junior Stocks and Shares ISA elsewhere, or if one is held, it has been declared in this application.
- > The applicant can confirm;
  - > They have not subscribed and will not subscribe to another Stocks & Shares JISA for this Eligible Child
  - > They are not aware of other JISA subscriptions that will result in this Eligible Child exceeding the annual limit
  - > They will not knowingly make subscriptions to JISAs for this Eligible Child that will result in the subscription limit being exceeded
- > The Applicant authorises Novia to hold the Junior ISA subscriptions, investments, interest, dividends and any other rights or proceeds in respect of those investments and cash, and to make on the Eligible Child's behalf any claims to relief from tax in respect of Junior ISA investments
- > The information given in this form is correct and complete to the best of the Applicant's knowledge and belief.
- > The Applicant has read, understood and agree to the Novia Terms & Conditions.

### General Declaration

I confirm that the Applicant has accepted the Novia Terms & Conditions. I confirm that I am authorised by the Applicant to make this Application and that they have received from me all information required to authorise me to submit this Application on their behalf and that the Eligible Child is eligible for the Product Wrapper. I confirm that the Applicant has been made aware of Novia's [Privacy Policy](#) as set out on Novia's website and they understand and acknowledge Novia's use of their and the Eligible Child's personal data as set out in the [Privacy Policy](#). The Applicant agrees that:

- > Any Direct Debit instructions in the application will continue into subsequent tax years until the last possible collection period before the eligible child is 18. Novia is instructed to cease taking payments.
- > The money subscribed will be from the Eligible Child or an outright gift to the Eligible Child
- > They indemnify Novia as the JISA manager against any liability to pay any tax or other charges which arise from the provision of false or misleading information.
- > They accept that Novia carries no responsibility for advice on the suitability of the Product Wrapper or investment decisions, and is not required to confirm suitability under the rules of the Financial Conduct Authority.

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- > Where regulations allow, the nominated Adviser can receive Contract Notes and correspondence in relation to the investments on their behalf. This instruction will remain in force unless their Adviser has informed Novia that they wish for this correspondence to be sent directly to the Applicant.
- > They understand that Novia has the right to liquidate investments sufficient to pay fees and charges at its sole discretion if they, or their Adviser, fail to give adequate instructions in that respect.
- > They authorise Novia to make Adviser Charge payments to their Adviser as specified in the application.
- > They authorise Novia to Accept investment and disinvestment instructions from their appointed Adviser.
- > They will inform Novia of any changes to the details provided in the application, relating to the Eligible Child or the Registered Contact
- > They confirm that the advice was given by their Adviser and accepted in the United Kingdom.

### Data Privacy

- > The Applicant has authorised Novia to contact the third parties involved in transferring any investments to us.
- > They acknowledge that telephone calls with Novia will be recorded for monitoring, training and security purposes.
- > They are aware that information provided to Novia either in the application or subsequently, may be shared with, and used by, the group of companies to which Novia belongs, its associated companies, service providers or agents in accordance with Novia's Privacy Policy available on the Novia website.
- > They acknowledge that any personal information obtained by Novia in relation to this Application may be held and used by Novia for any of the purposes set out in Novia's Privacy Policy available on the Novia website, or disclosed to a third party to enable the Application to be processed to enable Novia to service the Novia Product Wrappers and/or any subsequent transactions; and to communicate with directly or indirectly for any such purposes.

## 10 Verification of Identity

### Eligible Child

Novia is required by law to verify the identity and residential address the Applicants and the Eligible Child and do this by accepting your (the Adviser's) declaration of verification of this information.

Novia does not accept any US persons. FATCA (United States Foreign Account Tax Compliance Act) - has the meaning of US persons and includes any US citizen, national or resident individual, any partnership, corporation or trust organised in the United States of America or under its laws or those of any of its States.

I/We confirm that we; will not promote or offer to sell to any US Persons (as defined in the Regulations under the US Securities Act of 1933) or US citizens; to ensure that I/we do not permit any investment in Funds through the platform to be made by a person who is a "US account" for the purposes of the United States Foreign Account Tax Compliance Act (FATCA) and undertake to immediately liquidate to close or transfer out for Novia's reporting FI compliance, if to my/our knowledge or reasonable belief, an account is or has become a US account.

I/We, the Adviser named in 'Adviser Details' above, hereby confirm;

- The information set out in this application is correct, and was obtained by me/my Firm in relation to the Eligible Child;
- the evidence which I/we have obtained to verify the identity of the Eligible Child;

(please select one box only)

meets the standard evidence set out in the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group;

or

meets the standard evidence set out in the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group; exceeds the standard evidence set out in the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group and written details of the further verification evidence taken are attached to this application form.

## 11 Adviser details and declaration

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 applicant's authority to submit this instruction on their behalf.
- > I will be the Adviser for the Eligible Child up to and beyond the age of 18, unless Novia are informed otherwise.

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> I understand that failure to provide all the necessary information may lead to delays in processing this application.

Name

Position

Firm name

Firm FCA name

Adviser Signature

If you are submitting by post,  
you must sign here.

Date



This form can be used to transfer a Child Trust Fund or an existing Junior ISA to Novia Financial plc (Novia). Once completed, please return this form and any additional enclosures to Novia Client Services, PO Box 4328, BATH, BA1 0LR. PLEASE COMPLETE THIS FORM IN CAPITALS USING BLACK INK.

## 1 Eligible Child Details

Title

Surname  Forename(s)

Date of birth  Male  Female

National Insurance Number (if held)

If the eligible child has a Child Trust Fund they will have been given a Unique Reference Number. It will be found on their annual Child Trust Fund Statement.

If a Child Trust Fund is held please provide the Unique Reference number

### Residential Address

House number/name

Street name  Town/City

District  County

Country  Postcode

Nationality (please list all)

## 2 Registered Contact Details

This transfer is being requested by:

The Eligible Child who is aged 16 or over and wish to be the Registered Contact. (Please use my details from Section 1)

or

The following individual with parental responsibility for the Eligible Child. Please use my details below.

Investor Number (required)  (for your existing Novia Wrap Account)

Title

Surname  Forename(s)

Date of birth  Male  Female

National Insurance number

Relationship to Eligible Child

### Residential Address

Same as child

House number/name

Street name  Town/City

District  County

Country  Postcode

Nationality (please list all)

### 3 Details of your existing Plan Manager

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Child Trust Fund

or

Junior ISA

Plan Manager Name

Building number/name

Street name

Town/City

District

County

Country

Postcode

Account number with existing Plan Manager

### 4 Transfer Details

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Please indicate the method of transfer

Cash

Re-registration

We will re-register all assets and residual cash you hold with this Plan Manager.

### 5 Declaration

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I authorise the Manager shown on this Transfer Authority to provide Novia Financial plc with any information it may require, and transfer the Child Trust Fund or Junior ISA to Novia (ISA) Nominee Limited with immediate effect.

Registered Contact Name

Registered Contact Signature

Date

DD/MM/YYYY