Non-UK Applicants/CRS and FATCA Form

We're currently rebranding from Novia to Wealthtime. You'll notice that some of our products and services still use the name Novia while we're transitioning over to the new name. So don't worry if you see both Wealthtime and Novia names in our documents. Wealthtime is a trading name of Novia Financial plc.

This form is to assess whether we can hold your client(s) on the Wealthtime (a trading name of Novia Financial plc) platform.

FATCA regulations require us to verify the Investors' nationality and collect information about the Investors' tax residency. We are required to share relevant reportable account information with HMRC.

This form needs to be completed if your client(s) is any of the following:

- A non-UK resident
- A non-UK tax resident
- A non-UK national
- A dual national (including UK national)

Applications are accepted and clients remain with Wealthtime at our discretion as there are high-risk resident countries that we can't accept.

Importantly, we can't accept any US persons. For Investor residency/nationality/citizenship/tax payers in the USA (which includes dual status with another country), we can't accept the application or continue to hold clients on the platform if they become a US person. Any trustees or beneficiaries are also impacted.

Should any of the Investor information you have provided change in the future, please ensure you notify us using the self-certification form within 30 days.

If you need help completing this form, please contact the client services team on 0345 680 8000.

Client Onboarding (Complete this Section for Non-UK Residents and/or Non-UK Tax Residents Only)

How did your firm acquire this Investor? Ie. 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:

If you have acquired the Investor by solicitation, please detail the member state permissions that your firm holds:

How will your firm meet the conditions for carrying out UK investment advice under the FCA?

Advice and Services (Complete this Section for Non-UK Residents and/or Non-UK Tax Residents Only)

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

Postcode:

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).

Please Complete the Remainder of the Sections on this Form for all Clients

Does the client(s) have a UK bank account held in their name that we can make payments to?

☐ Yes ☐ No

If the answer is No, Wealthtime can't accept this application with exceptions for Isle of Man, Jersey, Guernsey and Ireland bank accounts which may be acceptable for Wealthtime to process.

Investor Details

Investor One

Is this a new Investor to Wealthtime? ☐ Yes ☐ No

Investor number (if applicable):

Title:

Date of birth (dd/mm/yyyy):

Forenames(s):

Surname:

Full permanent residential address including country and postcode. (This should not be a PO box or care of address)

NINO:

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Tax identification number - please ensure you provide this or declare that your client does not hold one. We are required to report this to HMRC:

Name of local tax authority:

Are they a UK resident for tax purposes? ☐ Yes ☐ No

Do they hold tax residency in another country? If so, please list:

Nationality (please list all nationalities):

Country and place of birth:

Full employer name:

Annual income:

Occupation:

Source of wealth
(how the funds have been acquired):

Investor Two

Is this a new Investor to Wealthtime? ☐ Yes ☐ No

Investor number (if applicable):

Title:

Date of birth (dd/mm/yyyy):

Forenames(s):

Surname:

Full permanent residential address including country and postcode. (This should not be a PO box or care of address)

NINO:

Tax identification number - please ensure you provide this or declare that your client does not hold one. We are required to report this to HMRC.

Name of local tax authority:

Are they a UK resident for tax purposes? ☐ Yes ☐ No

Do they hold tax residency in another country? If so, please list:

Nationality (please list all nationalities):

Country and place of birth:

Full employer name:

Annual income:

Occupation:

Source of wealth
(how the funds have been acquired):

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

We will accept 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 us.

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 Wealthtime 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 that the details are correct.
- I declare that the information provided on this form is to the best of my knowledge and belief, accurate and complete of my Investor(s).
- I undertake to advise Wealthtime promptly and provide an updated self-certification form within 30 days of any changes are required to any information provided.
- Where legally obliged to do so, Wealthtime will share this information with HMRC (UK tax authority) with the tax authority in the Investor(s) country of residence, as applicable.
- I declare that I have written authority as the client (s)' appointed Financial Adviser to sign this self-certification form.

Adviser name:	
Position:	
Firm name:	
Firm FCA name:	

Adviser signature:

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

Date (dd/mm/yyyy):

Please attach certified copies of a passport or driving licence for each Investor, to be sent with this self-certification form whether you send it by email or post.

If you require this document in an alternative format please contact us.