

Non-Advised 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.

Please complete this form if you do not have a Financial Adviser.

This form is to assess whether we can continue to hold your account on the Wealthtime (a trading name of Novia Financial plc) platform. We will contact you if we can no longer hold an account with us.

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

This form needs to be completed if you meet any of the following criteria:

- Non-UK resident
- Non-UK tax resident
- Non-UK national
- Dual national (including UK national)

Clients remain with Wealthtime at our discretion as there are high-risk resident countries that we cannot accept.

Importantly, we cannot accept any US Persons. For Investor residency/nationality/citizenship/taxpayers in the USA (which includes dual status with another country), Wealthtime cannot continue to hold clients on the platform if they become a US person. Any trustees or beneficiaries are also impacted.

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

If you need assistance completing this form, please contact the client services team on 0345 680 8000. Please complete the form in full where applicable.

Do you still hold a UK bank account in your name that we can make payments to?

Yes No

If the answer is no, we can still hold your account on the Wealthtime platform. However, you will need to open a UK bank account held in your name for any withdrawals. There are exceptions for Isle of Man, Jersey, Guernsey and Ireland bank accounts which may be acceptable for Wealthtime to process.

Investor Details

Investor One

Investor number:

Title: Date of birth:
(dd/mm/yyyy)

Surname:

Forename(s):

Email address:

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

Date you ceased receiving financial advice (dd/mm/yyyy):

Date of moving abroad (if applicable) (dd/mm/yyyy):

NINO:

Tax identification number:

Please ensure you provide this or declare that you do not hold one. We are required to report this to HMRC.

Name of local tax authority:

Are you a UK resident for tax purposes?

 Yes No

Do you 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 funds have been acquired):

Investor Two (if Applicable)

Investor number:

Title: Date of birth:
(dd/mm/yyyy)

Surname:

Forename(s):

Email address:

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

Date you ceased receiving financial advice (dd/mm/yyyy):

Date of moving abroad (if applicable) (dd/mm/yyyy):

NINO:

Tax identification number:

Please ensure you provide this or declare that you do not hold one. We are required to report this to HMRC.

Name of local tax authority:

Are you a UK resident for tax purposes? Yes No

Do you 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 funds have been acquired):

Client Declaration

By submitting this form you are confirming the following:

- I/We declare that the information in this form is true and correct to the best of my/our knowledge.
- I/We agree to indemnify Wealthtime (a trading name of 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/We understand that checks may be performed on this instruction to confirm details are correct.
- I/We declare that the information provided on this form is to the best of my knowledge and belief, accurate and complete.
- I/We undertake to advise Wealthtime promptly and provide an updated form within 30 days regarding any changes required to any of the 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.

Name:

Signature: Date (dd/mm/yyyy):

Please attach certified copies of your 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.

Wealthtime is a trading name of Novia Financial plc. Novia Financial plc is a private limited company registered in England and Wales. No. 06467886. Registered office: Cambridge House, Henry St, Bath, BA1 1JS. Novia Financial plc is authorised and regulated by the Financial Conduct