

# Adviser Application Form

Please complete this form in CAPITAL LETTERS using black ink and return to: **Wealthtime Client Services**,  
PO Box 4328, BATH, BA1 0LR

For our records, if you were introduced to Wealthtime by another firm outside of your network (if applicable), please provide the FCA number and name of the referrer.

## Firm Details

Name of firm:  FCA authorisation number:

Do you have FCA managing investment permissions? ☐ Yes ☐ No

Do you have FCA managing pension permissions? ☐ Yes ☐ No

If yes, please provide your Legal Entity Identifier (LEI) number:

Type of firm (eg limited company, public limited company, limited liability partnership or sole trader):

Company House number:

Please provide a summary of what products your firm provides advice on:

## Firm registered address

In which countries does the firm conduct business?

Contact name:

MLRO/Compliance Officer name:

Street number/  
building name:

Street name:

District:

Town/city:

County:

Country:

Postcode:

Email:

Telephone (Inc. area code):

**Firm correspondence address (if different from above)**Contact name: MLRO/Compliance Officer name: Street number/  
building name: Street name: District: Town/city: County: Country: Postcode: Email: Telephone (Inc. area code): Is your organisation an appointed representative of another firm? ☐ Yes ☐ No

If 'Yes' please provide the following details:

Wealthtime Regional Sales Manager Name: Name of organisation: FCA authorisation number: 

Please note: If you are the first appointed representative to sign up for the Wealthtime Service from a network, we will also require a completed Terms of Business Application form for the network. Contact Wealthtime client services on 0345 680 8000 for a list of networks currently signed up to the service.

**Director and shareholder details**

Please confirm the details of all directors of the firm and all shareholders who hold over 25% equity in the firm. We will use this information to carry out electronic verification.

Full name	Date of birth (dd/mm/yyyy)	Residential address	Relationship to firm (Shareholder/ Director)	Percentage of ownership in firm

## Details for Payment of Adviser Charges

Name of bank/building society:	<input type="text"/>		
Name of firm to receive payment(s):	<input type="text"/>		
Branch:	<input type="text"/>	Account Name:	<input type="text"/>
Street name:	<input type="text"/>	Branch sort code:	<input type="text"/>
District:	<input type="text"/>	Account number:	<input type="text"/>
Town/city:	<input type="text"/>		
County:	<input type="text"/>		
Country:	<input type="text"/>		
Postcode:	<input type="text"/>		

## Wealthtime Adviser Zone

To enable us to allow the appropriate website access levels for the Users within your firm, we will need you to allocate the following permissions to them: Transactional, Reporting, Firm Reporting and/or User Management.

### Transactional

Transactional users have full access to all the research and transactional tools available on the website. They will also be able to submit any application online to Wealthtime. Advisers will only be able to see details of Investors that are linked to them. They can utilise the research and transactional tools, create Investors, generate illustrations and complete applications online. Other users have the ability to utilise the research and transactional tools, create Investors, generate illustrations and complete applications online on behalf of any Adviser they are linked to.

### Reporting

An Adviser is able to access a vast suite of reports via Report Zone (as part of Adviser Zone) for Investors that are linked to them. This includes valuations and reports for Investor review, bulk reporting on Investor holdings and reports for Business Administration.

### Firm Reporting

A user is able to access a vast suite of reports via Report Zone (as part of Adviser Zone) for all Advisers and Investors linked to a firm. This includes valuations and reports for Investor review, bulk reporting on Investor holdings and reports for Business Administration.

### User Management

This role allows you to manage appropriate security and access rights for users of the Wealthtime system within your organisation and your Investors.



## Adviser Permissions

Please indicate which individuals will be set up with these permissions:

Please note, at least one person from your firm must have User Management permission.

[illegible]

## Non-Adviser Permission

Please list all staff members who are not Advisers, however, they would need access to the platform.

This can include paraplanners, admin and support staff.

[illegible]

## Important information about your access

We would always recommend a platform overview session provided by a member of our dedicated team prior to any access being provided. A member of this team will be in touch to arrange this overview and to ascertain any training requirements that you may have. If you have any queries regarding this, please speak to your Wealthtime Regional Sales Manager.

With regard to the Model Portfolio Manager(MPM) tool, access will only be provided once the training on this tool has been provided to and completed by at least one person within the firm, and upon receipt of the completed disclaimer confirming this.

## Business Processes

Would you like us to send Investor documentation directly to your Clients? ☐ Yes ☐ No

Please note that if you select 'No' for the above option, Investor documentation will be sent to yourselves for forwarding on to Clients. You must have obtained Client authority in order for us to send them to you. This does not include any regulatory documents that must be sent directly to Investors.

## Delegated Individual(s)

It is helpful to avoid delays by nominating delegated individuals.

We will request instructions from a Senior Management Function in accordance with the FCA register to the set-up new Advisers and Model Portfolio Manager access. If you wish to delegate this task to alternative individual(s) who have the appropriate authority to provide this on behalf of the firm, please provide their details below.

### Delegated Individual(s)

Title:	<input type="text"/>	Name:	<input type="text"/>	Job title:	<input type="text"/>
Email address:	<input type="text"/>			Signature:	<input type="text"/>
Title:	<input type="text"/>	Name:	<input type="text"/>	Job title:	<input type="text"/>
Email address:	<input type="text"/>			Signature:	<input type="text"/>
Title:	<input type="text"/>	Name:	<input type="text"/>	Job title:	<input type="text"/>
Email address:	<input type="text"/>			Signature:	<input type="text"/>

## Declaration

- I/We apply to use the Wealthtime Services.
- I/We have read Wealthtime's Privacy Policy as set out on Wealthtime's website at [wealthtime.com/advisers/privacy-policy/](https://wealthtime.com/advisers/privacy-policy/) and I/we understand and acknowledge Wealthtime's use of my/our personal data as set out in the Privacy Policy.
- I/We have read, understood and agree to the Wealthtime Terms of Business.
- I/We will read and explain to our Client(s) the Wealthtime Terms and Conditions.
- I/We will keep our Client(s) up to date with changes to the Wealthtime Terms and Conditions.
- I/We declare that the firm has all appropriate systems and controls as outlined in the FCA handbook to prevent and detect risks from materialising.
- I/We agree that we will only allow authorised employees or representatives of the Firm to use the Wealthtime Adviser Zone subject to the Terms of Business.
- I/We accept responsibility for ensuring that authorised users of the Wealthtime Adviser Zone and Wealthtime Services maintain competence in the use of the Services to deliver outcomes that are in the best interest of our Client(s).
- I/We will ensure that employees or representatives no longer authorised or who have left the Firm will not have access to the Wealthtime Adviser Zone as detailed in the Terms of Business.
- I/We declare that we have relevant FCA permissions to use the Wealthtime Services and agree to inform Wealthtime about any change to permissions or FCA limitations.
- I/We would like access to Copia Models. Copia Capital Wealth Management is the Discretionary Fund.

To be signed by a director, sole trader or partner as appropriate.

Applicant's Name:

Position:

Contact number:

Signature:

Date: 

--	--	--	--	--	--	--	--	--	--

  
(dd/mm/yyyy)

# Model Portfolio Manager Access Request

This section must be completed to use model portfolios on the Wealthtime platform. Access will only be provided once training on this tool has been provided and completed by at least one person within the firm, and we receive the completed disclaimer confirming this.

## Adviser Details

Name of firm:	<input type="text"/>
Key contact name:	<input type="text"/>
Telephone number:	<input type="text"/>
Email:	<input type="text"/>

## Level of Access

### Create Model

Users with this privilege will be able to create and save new models. Models do not become active for use until they are submitted to Wealthtime via the submit privilege.

### Edit Model

Users with this privilege will be able to edit any model portfolio that has previously been created. There is the option to edit a model and trigger a rebalance to linked wrappers or edit without a rebalance. Users must have submit privilege to edit and perform a rebalance.

### Submit Model

Users with this privilege will be able to submit a model to Wealthtime and by doing so make the model active or make the changes to the edit of a model final where the submission takes place as part of the edit process.

### Delete/Remove Model

Users with this privilege will be able to delete unwanted models from the list available to them. Please note that models with associated Clients will not be available for deletion.

### Link/Delink Model

Users with this privilege will be able to associate active models to the Clients they wish to provide these models for. Should users wish to delink Clients from selected model this functionality will also enable them to do so. Please note that the Link and Delink functionality at Adviser level will only allow the user to view Clients directly associated to them and not those of their colleagues. Should users be required to view associated Clients for multiple Advisers simultaneously they should be granted master user access. This can be achieved by completing the relevant sections on the next page.



## Access Required for Advisers

		Access Required				
		Create	Edit	Submit	Delete Remove	Link/ Delink
Name:	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Email:	<input type="text"/>					
Name:	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Email:	<input type="text"/>					
Name:	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Email:	<input type="text"/>					
Name:	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Email:	<input type="text"/>					
Name:	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Email:	<input type="text"/>					
Name:	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Email:	<input type="text"/>					
Name:	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Email:	<input type="text"/>					

## Access for Master Users

Access levels for master users will mirror the level of access the individual Adviser has.

Name:

Email:

Please list which Advisers you would like the user to have access to:

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

Name:

Email:

Please list which Advisers you would like the user to have access to:


Name:

Email:

Please list which Advisers you would like the user to have access to:


## Declaration

This form must be received by email from a person with Senior Management Function as per the FCA Register.  
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 understand and accept that for access to be granted to the Model Portfolio Manager Tool (MPM) that at least one person from my firm must have received training from Wealthtime.
- It is my responsibility to ensure that users within my firm are competent using the Model Portfolio Manager Tool (MPM) before they are granted access to the tool.
- I understand and appreciate the immediate trading nature of the tool and that once trade, edit, or rebalance instructions have been submitted, there is no facility to cancel these.

Name:

Position (SMF):

Date (dd/mm/yyyy): 

--	--	--	--	--	--	--	--	--

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: Royal Mead, Railway Place, Bath, BA1 1SR. Novia Financial plc is authorised and regulated by the Financial Conduct Authority. FCA Number 481600.