



Non-UK Applicants/CRS and FATCA Form

Tax regulations require us to collect information about each client's tax residency. In certain circumstances we may be obliged to share information about your account(s) with HMRC and this may be shared with other tax authorities in other jurisdictions. This form should be completed if you are opening a General Investment Account for an individual or joint investor who is any of the following:

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

You should also use this form if your client becomes any of the above whilst they are on the Wealthtime platform.

Applications are accepted and clients remain with Wealthtime at our discretion.

We cannot accept an application for business from any US persons as defined in the Foreign Account Tax Compliance Act 2010, a federal law in the USA. This means citizen, resident, dual resident or passport holder of the USA. If you become a US person whilst on our platform we reserve the right to close your account.

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

Please provide certified copies of a passport or driving license for each investor along with this form.

You can send this either by Secure Messages via your Adviser Zone login or by any of the below:

Email: clientservices@wealthtime.com

Post: Wealthtime Client Services, PO Box 4328, Bath, BA1 0LR

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

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:

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 and Guernsey 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)

Are they a UK resident for tax purposes? Yes No

NINO:

Please insert tax identification number and local tax authority for all countries the investor is registered for tax purposes.

Tax identification number	Name of local tax authority

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)

Are they a UK resident for tax purposes? Yes No

NINO:

Please insert tax identification number and local tax authority for all countries the investor is registered for tax purposes.

Tax identification number	Name of local tax authority

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):

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):

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

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