

Application form for transferring client accounts from one company to another

- Please complete this form if you wish to complete a transfer of business from one agency to another.
- Please read this form carefully and complete all relevant fields as we require all this information to process your request.

Once you have completed the form you can submit this through your online account via Upload & Send.

If you are a new agency then please first register for online services so you can submit this instruction online:
<https://adviserservices.fidelity.co.uk/contact-us/register-online-services>

[illegible]


Please list all of the Unique Adviser Number(s) (UAN) that you wish to transfer from the previous agency to the new agency. Please include the Fidelity Head UAN in this list if you also wish to transfer this UAN.

[illegible][illegible][illegible][illegible][illegible][illegible]

2 Details of New Agency/Adviser (continued)

For us to transfer the business in an efficient way we need you to inform us which Fidelity UAN we should transfer the clients to. **So please mark an X in ONE of the following options, A, B C or D:**

- ☐ (A) Link all clients to your existing Fidelity UAN. Please state here what UAN we should link the clients to.



- ☐ (B) Recycle existing Fidelity Head UAN. Please note this option is only applicable for full transfer of all clients linked to the previous agency's head UAN. We will simply update the FCA Number and all agency details. Please note we can cease or transfer an existing adviser ongoing fee, but we cannot change it. You can make changes online once the transfer of business is complete.

- ☐ (C) Create a new **Fidelity UAN**.

- ☐ (D) Please state here what Head UAN we should link the clients to. .

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Company Address

Building Number/Name

[illegible]

Street, City, County

[illegible][illegible]

Phone number (in case we need to contact you)

[illegible]

Email address

[illegible]

Company Bank Details

Name of account

[illegible]

Account number

Sort code

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3 Important Checklist

Please ensure you provide accurate information in your application as we rely on this information in order to process your instruction as quickly as possible.

- ☐ 1 Please mark an X in this box to confirm that you have checked that all your Login IDs linked to your Fidelity UAN(s) are up to date for your agency.
- ☐ 2 Please mark an X in this box if you are making a Partial Transfer (NB: a partial transfer is where not all the clients from the previous agency are transferred to the new agency).
- ☐ 3 Please mark an X in this box if you want all adviser fee agreements with clients linked to the previous agency to be stopped once the transfer of business has completed. If you do not tick this box then all existing adviser fee agreements will continue. (Please note you can set up new Adviser Fees online once the transfer has completed).

4 Partial Transfers

If you are fully transferring all clients from the previous agency to the new agency, then please leave this section blank.

Important Notes:

- Please note we will transfer your client's Cash Management Account (CMA) to the new Agency unless the client has any remaining active accounts linked to the previous agency. In which case a new CMA will be created and linked to the new Agency, unless the new Agency is part of the same firm.
- If you are making a partial transfer and not a full transfer then please include a list of the relevant account numbers and/or client names (please include account numbers for all relevant products including ISAs, General Investment Accounts and Pensions.) that you want to transfer from the previous agency to the new agency below.
- If you want to transfer multiple clients to different existing Fidelity UANs then please provide this information in an excel document which clearly states account number, client name and the UAN you want us to transfer each client to.
- If there is insufficient space below then please provide this information in an excel document.

Account number

Client name

Account number

Client name

Account number

Client name

Account number

Client name

Account number

Client name

Account number

Client name

Account number

Client name

Account number

Client name

Account number

Client name

Account number

Client name

Account number

Client name

Account number

Client name

Account number

Client name

Account number

Client name

/11/22/v2.0

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This declaration can be digitally signed using any digital signature provider that is legally recognised in the UK. Alternatively, the previous agency can send you a signed authority letter which you can submit together with this form online via Upload & Send.

5 Previous Adviser Declaration and Signature

If you are transferring business from an agency that is part of the same group as yours then please mark an X in this box and you can skip this section. ☐

Please note if you are an appointed representative then we require signed authority from the network firm and therefore they should complete this declaration

We confirm that we consent to this transfer and that clients have been adequately informed about the implications of this.

Please note that the information provided on this form will take precedence over any other permissions documents that are provided. Such documents will only be referred to if there is information missing on this form.

Your signature

Signature



Print name

Firm name

Date signed

(DDMMYYYY)

6 New Adviser Declaration and Signature

We confirm that clients have been adequately informed about the implications and have given their consent to this transfer. We acknowledge that we will be liable for losses arising as a result of inaccurate or incomplete information in accordance with the Fidelity Terms of Business for Intermediaries.

Please note if you are an appointed representative then we require signed authority from the network firm and therefore they should complete this declaration.

Please note that the information provided on this form will take precedence over any other permissions documents that are provided. Such documents will only be referred to if there is information missing on this form.

Your signature

Signature



Print name

Firm name

Date signed

(DDMMYYYY)

Please submit this form and any other relevant documentation online via Upload & Send.