

# CHANGE OF REGISTERED CONTACT FORM AND NEW ADVISER CHARGE AGREEMENT



## Junior ISA (JISA) Portfolio

With this form you can request a change to the registered contact on a JISA Portfolio.

### Completing this form

- Complete this form, as applicable, using block capitals and black ink.
- Missing or unclear information can result in delays.

### Additional documents or information we might need

- Proof of your identity - if not already provided.
- Documents outlined in section 3 - if applicable, but not already provided.

When you've read and completed the form please return it to your financial adviser.

### Section 1: JISA Portfolio details

JISA Portfolio number

Child's details

First name(s)

Surname

Date of birth

D	D	M	M	Y	Y	Y	Y
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### Section 2: Registered contact's details

Current registered contact

First name(s)

Surname

Date of birth

D	D	M	M	Y	Y	Y	Y
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## Section 2: Registered contact's details continued

### New registered contact

The new registered contact must be a person with parental responsibility for the child named in section 1.

Title  Mr  Mrs  Miss  Ms  Other (Please specify)

First name(s)

Surname

Date of birth

Town of birth

Telephone number

Email

National Insurance (NI) number

Permanent UK residential address   
 Postcode

We can't accept a residential address that is 'care of', which contains a PO Box number, or which is the financial adviser's address.

Use the residential address for correspondence?  Yes  No - enter the correspondence address below

Correspondence address   
  
 Postcode

### Tax residency

Are you UK tax resident?  Yes  No

Are you a UK national?  Yes  No

If yes to both above, are you sole resident and nationality of the UK only?  Yes  No

If yes to all of the above, please move to section 3. If no to any of the above, please complete the tax residence and nationality sections below.

### Please complete this section if you hold nationality or tax residence status anywhere other than the UK.

Normally you are resident for taxation in the country in which you spend the majority of your time each year. However, some countries (e.g. the United States) may also treat an individual as resident for taxation based on their nationality or citizenship. As tax residence is determined by the country in which tax is paid, it's possible to be tax resident in more than one country.

Do you hold dual nationality?  Yes  No

If yes, please complete the 'Dual nationality' section. If no, please complete the 'Non-UK or Multiple tax residencies' section.

### Please note

#### Tax identification type/number

- If your country of tax residence is the UK or the Isle of Man, your 'tax identification type' is your National Insurance number.
- For Guernsey, Jersey or Gibraltar it's your Social Security Number.
- If you are a US national/tax resident, it's your US Tax Identification Number.
- For many European countries it's your National ID number.
- For Greece and Portugal it's the Tax Identification Number.
- For Italy it's the Fiscal Code.

If the tax identification has an expiry date, this will also be needed.

If you are tax resident in more than one country, you may need to determine your treaty residence position in order to identify which country has precedence. The country in which you are treaty resident is your 'first country of residence'.

## Section 2: Registered contact's details continued

For help to work out where you are resident, or if you're unsure about your tax identification type/number, please consult your financial adviser. There is some helpful guidance here [litrg.org.uk/tax-guides/migrants/residence-and-domicile/what-dual-residence](https://www.litrg.org.uk/tax-guides/migrants/residence-and-domicile/what-dual-residence)

### Non-UK or Multiple tax residencies

Are you or your spouse/civil partner a Crown employee?  Yes  No

First country of tax residence

Tax identification type

Tax identification number (if UK, this will be your national insurance number)

Second country of tax residence

Tax identification type

Tax identification number

If you have a single country of nationality enter here

### Dual nationality

Are you or your spouse/civil partner a Crown employee?  Yes  No

Are you UK tax resident?  Yes  No

If you are non-UK resident or hold more than one tax residence, please complete the 'Non-UK or Multiple tax residencies' section.

Countries of nationality

### Section 3: Consent of the current registered contact

1. **The consent of the current registered contact is not required in the following circumstances.**

Please tick as applicable and include the required supporting documents with this form.

**The current registered contact has died or become incapacitated (is no longer able to care for themselves or their affairs).**

Please send an original or certified copy\* of a letter from a medical practitioner as evidence of incapacity, or an original copy of the Death Certificate.

**The child has been adopted by the new registered contact.**

Please send a certified copy\* of the adoption papers.

**A Court Order has ended the current registered contact's parental responsibility for the child.**

Please send a certified copy\* of the Court Order.

**A Court Order confirms that the current registered contact should cease to be so.**

Please send a certified copy\* of the Court Order.

**The existing registered contact cannot be contacted.**

We will let you know if our records suggest that we still have contact with the current registered contact.

**A court has appointed a Guardian or a Special Guardian of the child.**

Please send a certified copy\* of the Court Order.

\*Here is a list of authorised certifiers for customers living in the UK:

- Solicitor, barrister, lawyer, Notary Public, Commissioner of Oaths
- Justice of the Peace
- Police or customs officer
- Member of Parliament
- Councillor (local or county)
- GP, consultant or medical professional
- Social worker
- Bank or building society official
- Minister of well-known religion
- Postmaster or Sub Postmaster
- Teacher or lecturer

**If none of these circumstances applies, the current registered contact must sign below.**

2. a) I am the current registered contact for the JISA Portfolio detailed in section 1.
- b) I give my consent for the person named in section 2 to become the new registered contact on this JISA Portfolio.
- c) I know that:
- I will no longer be named on the JISA Portfolio as a registered contact or receive any correspondence in respect of the JISA Portfolio
  - all management for the JISA Portfolio will pass to the new registered contact.

Signature

Date

D		D		M		M		Y		Y		Y		Y
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### Section 4: Data Privacy

To learn about how Aviva processes Personal Information, please see our privacy policy at [aviva.co.uk/privacypolicy](https://www.aviva.co.uk/privacypolicy). It's updated from time to time to take account of changes in our business activities, legal requirements and to make sure it's as transparent as possible, so please check back in to see the latest version. A paper copy can be provided on request by writing to: Data Protection Team, PO Box 7684, Pitheavlis, Perth, PH2 1JR

## Section 5: Declaration of the new registered contact

1. a) I apply to be the new registered contact for the JISA Portfolio detailed in section 1 of this form.  
b) I declare that:
  - I am 18 years of age or over;
  - I am resident in the UK;
  - I have parental responsibility for the child named in section 1.
- c) I know that the child named in section 1 is the beneficial owner of the investments held within the JISA Portfolio.
2. I authorise Aviva
  - a) to hold the subscriptions, JISA Portfolio investments, interest distributions, dividends and any other rights or proceeds in respect of those investments and any other cash; and
  - b) to make on the child's behalf any claims to relief from tax in respect of the JISA Portfolio investments; and
  - c) to sell units or shares in investments within the JISA Portfolio to meet any changes in accordance with the Terms and Conditions; and
  - d) to give effect to my instructions in accordance with the Terms and Conditions.
3. **Privacy information** - I have read the Data Privacy section, including the online privacy policy, which explains how my personal data will be held and used, and am happy to continue with this application.
4. I declare that this form has been completed correctly and to the best of my knowledge and belief.
5. I am not aware of any other stocks and shares JISA held by the child.

Signature

Date

D	D	M	M	Y	Y	Y	Y
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## Section 6: Financial adviser's declaration

I confirm that:

- a) I have verified the identity of all relevant parties referred to in this form
- b) the information in this form was obtained by me in respect of the relevant parties
- c) the evidence I have obtained to verify the identity of the relevant parties can be produced on demand and meets the standard of evidence set out within the guidance for the UK Financial Sector issued by the joint Money Laundering Steering Group (JMLSG)
- d) if any individual referred to in this application has changed address within the last three months, I can provide evidence on demand
- e) I have not verified the identity of the following parties referred to in this form because they are exempt from verification under Money Laundering Regulations

- f) this section is signed below by the person who has seen the documentary evidence (which may include an electronic identity check).

Financial adviser's signature

Date

D	D	M	M	Y	Y	Y	Y
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Print name

Position

Email address

Telephone number

Full name of regulated firm  
(or sole trader)

Financial Services number

## Section 7: Adviser charge agreement

### 1. Payment of adviser charges

- 1.1 We will pay to your financial adviser the adviser charge in accordance with this agreement or as otherwise directed by you and your financial adviser.
- 1.2 The adviser charge that you have agreed to pay your financial adviser is a matter between you and your financial adviser. When we pay an adviser charge to your financial adviser, this is a payment we are making because you have asked us to do so and on your behalf. We do not assess the suitability or amount of the adviser charge you have agreed to pay.
- 1.3 If you have any queries about your adviser charge, including whether you are entitled to a refund, you should ask your financial adviser.
- 1.4 If, subject to the terms of this agreement, an adviser charge is stopped, not paid or is re-credited to the JISA Portfolio, you may remain liable to reimburse your financial adviser. You should check the terms of your arrangement with your financial adviser.
- 1.5 The payment of an adviser charge is separate to any charges that you may be required to pay Aviva in respect of the JISA Portfolio.
- 1.6 We will only pay an adviser charge to your financial adviser's firm account or as otherwise directed by your financial adviser.
- 1.7 Once we have received your instruction to pay an adviser charge, we will not be able to stop the payment if you subsequently ask us to do so.
- 1.8 We will tell your financial adviser if you instruct us to alter or stop the payment of any adviser charges.
- 1.9 Where there is insufficient cash to cover the payment of an ongoing charge, we reserve the right to sell investments to cover these charges. You can find further information about this in the JISA Portfolio terms and conditions.

### 2. Ongoing adviser charge

- 2.1 We will deduct the amount which you have agreed with your financial adviser to cover the cost of any ongoing advice from the JISA Portfolio. If the amount you have agreed is a percentage of the JISA Portfolio then this will be calculated based on the daily value of the JISA Portfolio on the date the calculation is carried out, this means the amount of ongoing adviser charge deducted will vary.

### 3. Change in financial adviser

- 3.1 You should let us know as soon as possible if you change your financial adviser. If you change your financial adviser, we will stop paying further adviser charges to that adviser. If you change your financial adviser and you wish to pay adviser charges to a new financial adviser, you will need to complete a new adviser charge agreement.
- 3.2 If your financial adviser tells us that they have transferred their business to another authorised firm which will take responsibility for providing you with ongoing service, we will transfer all future adviser charges to the new firm.
- 3.3 On a change of financial adviser, we may provide details of the adviser charges paid under this agreement to your new financial adviser to the extent required to enable your new financial adviser to provide you with advice and services in connection with the JISA Portfolio. Entering into this agreement is your consent to allow us to do so.

### 4. Termination of this agreement

- 4.1 You can terminate this agreement at any time by giving us 30 days' notice. We will then cancel the adviser charge agreement at the next available opportunity. You do not have to give us any reason why you are terminating the agreement and we will not charge you for doing so.

### 5. Keeping you informed

- 5.1 We will provide you with written confirmation when we set up the arrangements to pay the adviser charges you have instructed us to pay to your financial adviser. We will ask you to check the information that we provide to you. You will need to contact your adviser if you believe there are any errors.
- 5.2 We will also provide you with a statement every three months which will set out all of the adviser charges paid over this period.

### 6. Miscellaneous

- 6.1 This agreement does not give any rights to any person other than you and us. No other person shall have any rights under the Contracts (Rights of Third Parties) Act 1999 to rely on any terms under this agreement.
- 6.2 This agreement is to be governed by and interpreted in accordance with the laws of England. The courts of England will have jurisdiction over any dispute arising from this agreement.

## Ongoing adviser charge

Please specify the annual amount of ongoing adviser charge. This will be paid monthly on a pro rata basis.

Account number	Deduction amount £ or %

## Section 8: Discretionary Investment Manager ('DIM') charge

You should complete this section if you've chosen to appoint a Discretionary Investment Manager.

Charges are taken as a % of the portfolio value including VAT (where applicable) and will be deducted monthly.

Account number	Model Portfolio or DIM name	Charge %

## Section 9: Declaration for new registered contact

- I'm 18 years of age or over.
- I'm resident in the UK.
- The information given in this declaration is correct to the best of my knowledge and belief.
- I agree that the relevant JISA Portfolio terms and conditions apply to this investment.
- The JISA Portfolio is subject to the laws of England.
- I agree to notify Aviva immediately if any information relating to this application changes in the future.
- I confirm that no financial advice has been received in respect of this investment other than from my financial adviser.
- I instruct Aviva to set up and pay adviser charges, in accordance with the terms and conditions of the adviser charge agreement set out above.
- If applicable I appoint the Discretionary Investment Manager(s) and authorise Aviva to deduct their charge from the JISA Portfolio cash account.
- I agree that any of the Aviva Application and/or Declaration Forms I sign setting out my instructions to Aviva, may be held by my adviser. I authorise Aviva to accept and act upon the instructions of my adviser as if they were made by me direct without any investigation or enquiry.
- I've seen and agree the contents of the Fair Processing Notice, which my financial adviser has shown to me.
- If at any time I no longer have an adviser the relevant section within the JISA Portfolio terms and conditions will apply until such time as I appoint an adviser.

**I confirm that I've read and agree the contents of this Declaration Form including all sections of the Adviser Charge Agreement.**

### New registered contact

Print name

Signature

Date

D	D	M	M	Y	Y	Y	Y
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### What happens next?

Your financial adviser will need to send us this form. Once we have received this we'll email you to confirm it has been successfully processed. Where we need additional information we'll contact you or your adviser directly.