

# AVIVA PLATFORM

## Junior ISA Portfolio Client Declaration Form



### When to use this form:

- Please fill this in using black ink if you're applying to open a Junior ISA (JISA) Portfolio for a child on the Aviva Platform.
- Your adviser will be able to let you know what documentation you need to give us as part of your application.
- Please take time to read the terms and conditions and key features document for the product portfolio you're applying for. You should also read your illustration. If you have any questions about any of this, please talk to your financial adviser.

**Do not return this form in the post. Your adviser should scan and upload this form. Please see page 4 for more information.**

### Personal details - To be completed by the registered contact (someone with parental responsibility for the child)

Client reference	<input type="text"/>
Forename(s)	<input type="text"/>
Surname	<input type="text"/>

### I apply to open a JISA Portfolio for - child's name (the account holder)

Forename(s)	<input type="text"/>
Surname	<input type="text"/>

### Section 1: JISA Portfolio

- I agree the child named above will be the beneficial owner of the account investments.
- I authorise Aviva Wrap UK Ltd to hold the cash subscription, JISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- I confirm I'm 18 years of age or over, a UK resident, and have parental responsibility for the child. I agree to be the registered contact for the JISA Portfolio.
- I'm completing this declaration as an application for the JISA Portfolio. The JISA Portfolio is a stocks and shares JISA provided by Aviva Wrap UK Ltd (The Plan Manager) for the 2023/24 tax year and each subsequent year until further notice.
- I agree that the JISA Portfolio terms and conditions will apply to the investment.
- I confirm the child is resident in the UK, or is a UK Crown servant, or a dependant of a UK Crown servant. I will inform the Plan Manager if the account holder ceases to be a resident.
- I confirm the account holder has not subscribed and will not subscribe to another JISA of this type. I'm not aware that this child has another JISA of this type.
- I confirm the child doesn't have a Child Trust Fund account.
- I confirm I will not knowingly make subscriptions to JISAs for this child that will result in the subscription limit being exceeded.
- I confirm I'm not aware of other JISA subscriptions that will result in this child exceeding the annual limit.
- I authorise the Plan Manager to make on the child's behalf any claims to relief from tax in respect of JISA investments.
- The information given in this declaration is correct to the best of my knowledge and belief.
- 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 in Section 4, below.
- If I appoint a Discretionary Investment Manager, I 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.

## Section 2: Financial crime

To verify your and the child's identity, and to prevent financial crime, the information provided may be used by any company within the Aviva group. It may also be shared with third parties who provide services to us, and any other organisations, where required to by law and regulation.

We may record any searches carried out. These, and any suspicion of financial crime, may be used to help other companies with verification and identification. The search isn't a credit check and your credit rating shouldn't be affected.

## Section 3: Tax residency

Tax regulations require us to collect certain information about each policyholder's and registered contact's tax status. In certain circumstances, we will be obliged to share this information with HM Revenue & Customs (HMRC).

Your and the child's tax residence is generally the country in which you live for more than half a year. Special circumstances (such as studying, working overseas or extended travel) may cause you to be resident elsewhere or resident in more than one country at the same time.

The country/countries in which you are liable to pay income tax is/are likely to be your country/countries of tax residence. The tax residence of a child generally follows that of the parental guardian they live with.

If you or the child are resident in a territory other than the UK (Note that for tax purposes UK means England, Northern Ireland, Scotland & Wales), we will report the information to HMRC and they may transfer that information to the government of that other territory in accordance with the relevant agreement.

### The information for the registered contact and the child is as follows:

- Name, address, jurisdiction of tax residence, Tax Identification Number and date of birth.
- Account/policy number and that the account/policy is with Aviva.
- The balance or value of the account/policy at the end of the year or at the date it was closed.
- The gross amount of interest, dividends, proceeds from sale or redemption or other amounts paid or credited to the account/policy during the year.

In accordance with those agreements, UK government will also begin to receive information from governments of other territories about non-UK accounts held by UK tax residents. If you have any questions about tax residency status, please talk to your financial adviser.

## Section 4: Adviser charge agreement

### 1. Payment of adviser charges

- 1.1 We'll 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've 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're making because you've asked us to do so and on your behalf. We don't assess the suitability or amount of the adviser charge you've agreed to pay.
- 1.3 If you have any queries about your adviser charge, including whether you're 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'll only pay an adviser charge to your financial adviser's firm account or as otherwise directed by your financial adviser.
- 1.7 Once we've received your instruction to pay an adviser charge, we won't be able to stop the payment if you subsequently ask us to do so.
- 1.8 We'll 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. Calculation of your adviser charge

- 2.1 Ongoing adviser charge – we'll deduct the amount which you've agreed with your financial adviser to cover the cost of any ongoing advice from the JISA Portfolio. If the amount you've 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'll 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'll 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'll 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 and entering into this agreement is your consent to allow us to do so.

## Section 4: Adviser charge agreement continued

### 4. Termination of this agreement

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

### 5. Keeping you informed

5.1 We'll provide you with written confirmation when we set up the arrangements to pay the adviser charges you've instructed us to pay to your financial adviser. We'll ask you to check the information that we provide to you. You'll need to contact your adviser if you believe there are any errors.

5.2 We'll 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 5: 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 6: Declaration

• I confirm that I have read and agreed to the contents of this Declaration Form.

• I declare that I have read and agree to the JISA Portfolio application conditions and declarations as detailed in section 1.

### Applicant (registered contact)

Print name

Signature

Date

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## What happens next?

Your financial adviser will need to scan and upload the declaration into your document library.

Once we've processed your application we'll write to you with the following:

- Illustration of the JISA Portfolio
- Your rights to cancel
- Policy schedule

## IMPORTANT – DO NOT SEND THIS FORM TO US

Your adviser should scan and upload all pages of this document onto the platform. This form should be kept by your adviser for their records.

## Our bank details for direct payments

Bank account: Aviva Wrap UK Limited Client Money Collection

Sort code: 40-02-50

Account number: 21357735

Please use the client account number as the payment reference.

## Cheques

Cheques should be made payable to Aviva Wrap UK Ltd.

**Your adviser MUST send cheques with our remittance advice (LF60009) ONLY and not with this form.**