



EXCLUSIVE PROFESSIONAL
INVESTMENTS

Form 400W

SIPP ACCOUNT FORM

WRAP PLATFORM

Please complete all sections in BLOCK capitals using blue or black ink.

Affiliated Firm Contact Details

Location code

Responsibility code

Affiliated Firm Contact

Raymond James Head Office Use Only

Account reference RK

RAYMOND JAMES®

Willu Limited, your Financial Intermediary, is authorised and regulated by the Financial Conduct Authority

Raymond James Investment Services Limited (Raymond James) is authorised and regulated by the Financial Conduct Authority and is a member of the London Stock Exchange Registered in England and Wales No. 3779657 Registered Office: Broadwalk House 5 Appold Street London EC2A 2AG

Pershing Securities Limited is authorised and regulated by the Financial Conduct Authority and is a member of the London Stock Exchange

This form is to establish a Self Invested Personal Pension (SIPP) Investment Account through the Raymond James Platform. It is in addition to any paperwork you will be required to complete by the SIPP Administrator.

Section 1 *To be completed by the underlying client.*

Member's Preferences

Member Details

Account title

Example: SIPP Provider Ref ###: Mr John Smith

Address for correspondence

Personal Details

These are the details of the underlying client.

Title

Surname

Forename(s)

Date of birth

| | | |
|----|----|------|
| DD | MM | YYYY |
|----|----|------|

Address for identification purposes
If different than above

Contact telephone numbers Home

Business

Mobile

Fax number

Email address

Are you a US Person?*

No Yes

What countries are you resident in
for tax purposes?

What country are you a citizen of?

Place of birth

Town

Country

* We have limited options for US Persons. For a definition of US Person please refer to the IRS website:
<http://www.irs.gov/Individuals/International-Taxpayers/Classification-of-Taxpayers-for-U.S.-Tax-Purposes>.

Client Reporting

Statements

The SIPP Administrator will receive a 'Statement of Account and Securities Held' at the frequency they require. This statement lists the holdings within your SIPP account, with a mid-market value, as well as cash transactions for the reported period, excluding stock transfers and corporate actions if no cash was involved. Statement values are reflected in GBP. The same information is provided within your Valuation, details of which are below. If you would like to receive a copy of this Statement, please speak with your Financial Intermediary.

Contract Notes

A contract note will be dispatched to you, as the underlying client and the SIPP Administrator. Contract notes are dispatched to your correspondence address, via first class post. For securities trades, contract notes will be dispatched by the end of business day after the trade has been executed. For fund trades, contract notes are produced following receipt of confirmation from the fund company. If you would prefer for your Financial Intermediary to receive your contract notes on your behalf, please review the following declaration and confirm accordingly.

I understand that by ticking this box, I am instructing Raymond James to send any contract notes to my Financial Intermediary, as named in the *Raymond James Wrap Platform Terms of Business*, who has agreed to receive these on my behalf. I understand that this means that I will not receive contract notes following the execution of any trades placed on my accounts, and understand that should I require copies of these contract notes, that these will be available from my Financial Intermediary upon request.

Valuations

Valuations are provided quarterly at the end of March, June, September and December, half yearly at the end of June and December or yearly at the end of December. The SIPP Administrator and the underlying client will receive Valuations at the frequency that they require. Please specify the frequency that you require below. Valuation values are reflected in GBP unless specified otherwise below. If you wish to have your SIPP Account included in a Consolidated Valuation with other accounts held with Raymond James at Pershing Securities Limited, please inform your Financial Intermediary.

Valuation Currency (if not GBP)

EUR USD

Frequency of Valuations – please specify below

Quarterly (March, June, September, December) Half Yearly (June, December) Yearly (December)

Permitted Investments

You may only invest in assets which are permissible under the UK HM Revenue & Customs (HMRC) regulations and that are within your chosen SIPP Provider's current investment list. Your Financial Intermediary must adhere to this policy.

Declaration

Before signing this form, it is important that you read and understand the following information. If there is anything you do not understand, please speak to your Financial Intermediary for clarification before signing.

I acknowledge that this individual account is opened in respect of assets which are the legal and beneficial property of the SIPP Trustees identified in this form. I acknowledge that no contract exists between Raymond James and myself in respect of the specific assets that comprise this SIPP Trust investment. I agree that this account will be charged fees and charges in accordance with my Financial Intermediary's *Schedule of Fees and Charges* and the section of my Financial Intermediary's *Schedule of Fees and Charges* relevant to Raymond James's services, a copy of which I have reviewed and understand. I also understand the importance of reading, understanding and consenting to the *Raymond James Execution Policy* on which I have been given information.

By completing and signing this form, you provide your consent for Raymond James to validate your personal identification and verify your address internally or through a third party external firm providing the services electronically to us. You also agree for Raymond James to obtain a report on you for anti-money laundering and fraud purposes.

I understand that access to information about the Account will automatically be granted to each email address nominated in the 'Personal Details' section of this Account Form. I provide my consent for a password to be sent to each email address, and understand that access to Account information will be available to any person(s) with access to the nominated email account(s). I understand that I am responsible for maintaining the security of the access details.

Member

Full name *Please print*

Signature

Date

Section 2 *To be completed by the SIPP Administrator.*

Trustees Details and Approval

| | |
|--------------------------------|----------------------|
| SIPP Administrator | <input type="text"/> |
| Address for correspondence | <input type="text"/> |
| Name on account | <input type="text"/> |
| Client reference policy number | <input type="text"/> |

Bank/Building Society Details for the SIPP *If applicable*

| | | | |
|----------------|----------------------|---------------------------------------|---|
| Bank name | <input type="text"/> | Branch | <input type="text"/> |
| Account name | <input type="text"/> | Sort code | <input type="text" value="00 - 00 - 00"/> |
| Account number | <input type="text"/> | Authorised signatory for bank account | <input type="text" value="X Please sign here"/> |

Do the SIPP Trustees authorise Raymond James to accept sale or purchase instructions from the Financial Intermediary (Investment Manager) directly?

Yes No

Please provide an up to date list of authorised signatories.

Declaration

We have read this form and to the best of our knowledge the information that we have provided is correct. We undertake to notify Raymond James of any significant/material changes.

First approved signatory

| | | | |
|-------------------------------|---|------|---|
| Full name <i>Please print</i> | <input type="text"/> | | |
| Signature | <input type="text" value="X Please sign here"/> | Date | <input type="text" value="DD MM YYYY"/> |

Second approved signatory

| | | | |
|-------------------------------|---|------|---|
| Full name <i>Please print</i> | <input type="text"/> | | |
| Signature | <input type="text" value="X Please sign here"/> | Date | <input type="text" value="DD MM YYYY"/> |

Financial Intermediary Contact

| | | | |
|-------------------------------|---|------|---|
| Full name <i>Please print</i> | <input type="text"/> | | |
| Signature | <input type="text" value="X Please sign here"/> | Date | <input type="text" value="DD MM YYYY"/> |