



Platform Account Agreement Form

- Corporates & Pension Providers

Please tick to confirm you have included with this application

- Fee Schedule
- Suitability Report (where required)
- Verification of client(s) identity
- Verification of client(s) address such as utility bill (or suitable alternative)
- Source of wealth supporting documentation (where required)
- Specimen signature form (where required)
- Transfer Authority Form (for cash and asset transfers from third party providers, corporates only)

For guidance, please refer to the Know Your Customer Guide which you will find available through ARIA IP.

This form should be read in conjunction with the current edition of the following documents:

- » ARIA IP Terms & Conditions

Please provide all relevant information and documentation so that we can process your application as soon as possible. If you do not provide all relevant information, it may cause a delay in the processing of your application. Further information may be required during the validation process (i.e. questions arising from the information provided).

Please complete this form in English, using block capitals. If you make a mistake, please cross it out and correct it, initialling any amendments. Please do not use correction fluid or any other method for deleting incorrect information.

Additional information/Special instructions

Please let us know in the space below of any additional information we need to be aware of relating to the application.

Please write in ink and use BLOCK CAPITALS.

SECTION 1: COMPANY DETAILS

Company Name/Scheme
Name (Pension provider only)

Policy Type / Reference (if
applicable)

Legal Entity Identifier Number
(LEI Number)

Country of incorporation

Registered address

Correspondence address
(If different to registered address)

Contact Person

Email address

Telephone number

SECTION 2: PAYMENT DETAILS FOR ANY TRANSFERS TO YOU

(Please complete)

Name of Bank/Building
Society*:

Address:

Account Holder's Name:

Sort Code:

Account Number:

IBAN:

SWIFT:

SECTION 3: SOURCE OF WEALTH

This section should be read in conjunction with the Anti-Money Laundering Guide and the source of wealth section.

Source of wealth - Please specify the underlying source of your wealth e.g. savings, sale of property/assets, gift. We reserve the right to request further information for all clients to support the details provided and evidence is always required for transfers over £500,000 and for non-sterling transfers over the currency equivalent of £150,000.

Source of wealth
(example salary/savings)

Document(s) provided
(to evidence source of wealth)

SECTION 4: EXPECTED ACCOUNT VALUE WITH ARIA IP

To transfer cash and assets from an unwrapped platform account please complete a Transfer Authority form.

Expected Account Value with ARIA IP (Please send in any valuations of assets you wish to transfer to us):

Cash: Assets:

Source of funds for cash/
assets:

Expected regular withdrawals: Deposits:

SECTION 5: CORPORATE DECLARATIONS

This declaration applies to corporate entities, trustees, and any other non-individual entities accessing the ARIA Investment Platform (ARIA IP) service. A declaration must be signed by each trustee or one or more designated company signatories.

Please note that this document forms part of your application to ARIA IP Service together with the product application for each account, any applicable fee schedule and the ARIA IP Terms & Conditions, all of which combine to constitute a legally binding contract. Please note that the terminology contained within this document is defined in the ARIA IP Terms & Conditions.

Please read the declarations below and make your personal declaration in the 'General Declaration' section.

General/Universal Declaration

Name of Applicant Trust/Corporate Entity: _____

I/We hereby confirm that I/we have read and understood the Terms and Conditions for ARIA IP before signing this Declaration. By signing this Declaration it is confirmation that I/we accept the ARIA IP Terms and Conditions, Fee Schedule, Key Feature Document(s), Best Execution Policy and Conflict of Interest Policy. I/We are aware that ARIA IP intends to rely on the aforementioned documents and this declaration in the event of a future dispute.

I/We authorise ARIA IP to accept investment instructions from the Financial Adviser on the account and confirm that this authorisation will remain in place until I/we advise ARIA IP in writing to the contrary.

I/We authorise payment of any initial and on-going fees as set out in the relevant application form, and/or applicable fee schedule, and I/we confirm acceptance of the ARIA IP charges as set out in the ARIA Terms & Conditions and applicable fee schedule. I/We accept that it is the responsibility of my/our Adviser to disclose all of the costs and charges associated with my/our chosen account(s). I/We accept that ARIA IP will normally correspond with the Financial Adviser.

I/We agree to be bound by the Terms and Conditions of the ARIA IP service and the appropriate Key Features of my/our chosen account(s).

I/We understand that ARIA IP, and the Custody Agent, provides its services in conjunction with the Financial Adviser and ARIA IP does not offer any advice on the merits of using its services or any assets available through these Services. I/We accept that ARIA IP, and the Custody Agent, does not endorse any assets available through its services.

I/We understand that the Custody Agent will from time to time deliver to me documentation relating to transactions I/we have entered into and valuations of my/our investments. The Custody Agent will provide these documents in a durable medium which may include electronic transmissions if appropriate and agreed.

I/We understand that the Custody Agent via ARIA IP shall exercise due care and diligence in the process of arranging of a custodian and ensuring continued appropriateness. Where a change of custodian is considered necessary by the Custody Agent, I agree to be notified of such in a durable medium 60 days in advance of changes taking effect.

I/We duly acknowledge that ARIA IP will act on investment instructions as provided by the Financial Adviser and that I/we have appropriate arrangements in place with the Financial Adviser in respect of any investment restrictions which must be observed.

I/We understand that ARIA IP and the Custody Agent shall exercise due care and diligence in the management of my/our account(s) and subject to Section 138D of the Financial Services Act 2012, despite the Custody Agent's obligations as a company authorised and regulated by the Financial Conduct Authority and as otherwise provided by the Terms & Conditions, ARIA IP or the Custody Agent shall not be liable to us, nor will they compensate us for any loss arising as a result of them doing, or not doing anything in reliance upon an instruction given or which is reasonably believed to have been given by me/us or the Adviser acting on our behalf, to ARIA IP.

I/We agree that ARIA IP and the Custody Agent will not be liable for any reduction in the value of my/our account(s) resulting either directly or indirectly from the acts or omissions of ARIA IP, its agents or nominees or those of any third party or from the reliance on instructions given or which is reasonably to have been given by me/us or the Financial Adviser, except where such reduction arises as a result of gross negligence, wilful default or breach of statutory obligations.

I/we will reimburse ARIA IP and the Custody Agent for any losses, liabilities and/or reasonable expenses which arise due to ARIA IP acting in reliance on an instruction received directly from me or via my the Financial Adviser.

I/We authorise the Custody Agent via ARIA IP to hold and process my/our cash and assets where required or to exercise its discretion in appointing another authorised firm to carry out these responsibilities.

Data Protection Declaration

I/We understand that the information on the application form(s) and any supplementary information provided by me/us and/or the Financial Adviser will be used by ARIA IP in accordance with the terms of the ARIA Privacy Policy which can be viewed at <https://www.ariacm.com/privacy-policy/> and/or the Custody Agent in accordance with the terms of Fusion Wealth Privacy Policy, which can be viewed at <http://www.fusionwealth.co.uk/privacypolicy.aspx>, for the following purposes:

- » to set up and administer the ARIA IP accounts or those accounts provided via third parties;
- » to use and disclose such information or data for the purposes of providing the services and exchanging information with another contracting party for any such party's legitimate purposes or use, such as but not limited to the applicant's custodian, SEI (SEI's Privacy Policy is available from their website at:

<https://seicdrupalcdn.azureedge.net/cdn/farfuture/P0KgDbB0X1oL8d18zIqAPChR8ochIRSnKqLHtjQIWNU/1525264669/sites/default/files/SEI-UK-GDPR-Privacy-Notice.pdf>);

- » to send me information relating to my/our account(s) including portfolio performance updates, product updates, factsheets, closing statements and general information relating to my ARIA IP accounts

Send me information on other ARIA products and services electronically

Declaration of Non-US Status

In accordance with the regulations applicable under US law relating to withholding tax and the Foreign Account Tax Compliance Act and in order to determine the status of the applicant (s) (for the purpose of US withholding tax) as a non US person, I hereby declare and confirm the following;

(I/We/Beneficiary am/are/is not a US Person)

I/We declare that neither I/we nor any beneficiary of the account is a US Person as defined in the Terms & Conditions of the ARIA IP Service. I/We undertake to inform ARIA IP within 30 days should I/we become a US Person. I/We understand that as per the Terms & Conditions of the ARIA IP Service, ARIA IP cannot accept clients who are US persons.

(I/We/Beneficiary am/are/is a US Person)

I/We am/are a US Person as defined in the Terms & Conditions of the ARIA IP service.

As per the Terms and Conditions of ARIA IP I understand that US Persons can only invest in Third Party Product Accounts.

I/We declare that I/We have provided to my/our Adviser all details relating to any country in which I/We am/are deemed tax reportable and I/We am/are aware that ARIA IP have an obligation to pass this information through to HMRC as part of the Foreign Tax Compliance Act (FATCA).

I/We are aware that as a non-US tax-payer, if I/We wish to make acquisitions of US issued investments or derive US investment income through the ARIA IP accounts I/We will be required to complete a W-8BEN form so that the appropriate level of US tax is deducted. I/We authorise ARIA IP to facilitate the onward disclosure to the United States Internal Revenue Service (IRS). I am aware that the completed W-8BEN will disclose my identity and other information contained therein to the IRS.

General Investment Account - Product Specific Declaration

I/We authorise the custody agent via ARIA IP or an authorised firm appointed by ARIA IP to hold my cash subscription, plan investments, interest, distributions and any other rights or proceeds in respect of those investments and any other cash in the ARIA IP General Investment Account.

I/We declare that the application has been completed to the best of my knowledge, information and belief.

SIPP/SASS/QROPS Pension Trustees Declaration (Only Complete if Applying as a Pension Scheme Trustee)

It is hereby agreed that any liability of the Client and * _____ shall be limited to the value of the assets within the account(s) held as at the date any liability arises. ARIA IP shall not be entitled to recover any claims against the Client nor the SIPP/SASS/QROPS trustee/pension scheme which exceeds the value of the assets held within the SIPP/SASS/QROPS account at the date any liability arises except in the case of wilful default, negligence, fraud of the Client or SIPP/SASS/QROPS trustee/pension scheme.

Should any act or omission of any third party custodian or sub-custodian, in whose custody the assets are held, cause actual loss to the trustees of the SIPP/SASS, the Client, or the SIPP/SASS trustee/pension scheme, ARIA IP will take such steps as are reasonable in the circumstances to mitigate and recoup such loss pursuant to their contractual relationship with the third party custodian or sub-custodian.

Any limitation on the liability of ARIA IP with the agreement shall not be so limited in the case of wilful default, negligence or fraud of ARIA IP.

* _____ is the professional trustee for the SIPP/SASS/QROPS trustee/pension scheme and we acknowledge that any monies held in the ARIA IP account will be covered under the appropriate client money rules, as prescribed by the FCA.

* _____ confirm that appropriate arrangements are in place with the appointed Financial Adviser firm in regards to asset selection and risk management appropriate for the SIPP/SASS/QROPS trustee pension scheme.

*Enter name of the SIPP/SASS/QROPS Trustee/pension scheme

Customer Agreed Remuneration

I/We have agreed to the fees detailed within the signed Fee Schedule, and have authorised ARIA to deduct these from my/our account(s).

General Declaration

I/We hereby confirm that the information that I/we have supplied to ARIA is correct, including but not limited to name, address, tax residency, tax number, information on shareholders and directors as well any underlying members etc. and consent to this data being used for all purposes in relation to their account(s).

By signing below you hereby specifically request provision of the services contemplated by the completion of the application forms, and would like the services to commence as soon as ARIA IP is able, upon receipt of all relevant documentation.

I/We confirm that the bank account details provided in the application are those of my/our bank account and that I /We have given the Adviser instruction to use this account for cash withdrawals.

Send statements:

Electronically (Statements will be available via a secure online hub. A link to the hub will be sent to you via secure email. Where you have provided a valid email address and we are unable to send an electronic version due to a technical issue we will send a paper based statement at no charge.)

Paper based by post (please note there will be a charge of £12.50 per statement if you choose this option. Statements are sent every three months.)

In accordance with the applicable Money Laundering Regulations, as amended from time to time, I hereby declare and confirm the following:

No individual associated with this application is a Politically Exposed Person (PEP)

An individual associated with this application is a Politically Exposed Person (PEP)

Name of PEP: _____

I/We will inform ARIA IP within 30 days should there be a change in PEP status. Applications for PEP's must be supported by completed PEP Declaration.

You should read and understand the terms and conditions of the products being applied for before signing this document. If you do not understand any of the terms and conditions please speak to your Adviser or contact ARIA IP for further information.

I have appointed a Discretionary Portfolio Manager for my/our investment held on the ARIA Investment Platform, as per the signed Fee Schedule, in accordance with the Discretionary Portfolio Manager's Terms and Conditions and confirm that I have read the terms before signing this form.

I/We acknowledge that it is a serious offence to make false statements. False statements made in this declaration could lead to prosecution.

I/We confirm that the signature(s) shown below can be regarded as a specimen signature representative of the entity which has signed.

Signature:	Print name:
	Date:

Signature:	Print name:
	Date:

Signature:	Print name:
	Date:

Signature:	Print name:
	Date:

SECTION 6: ADVISER DECLARATION- FOR CORPORATES ONLY

Where I have provided advice that I am permitted to, and I have made a personal recommendation, also where permitted to, it is in accordance with the FCA Handbook, or local regulatory framework and my/our licensing permission, and I confirm that I have assessed the suitability of this account in relation to my client's circumstances and investment objectives.

Where no advice has been given and the account holder(s) is/are undertaking an execution only investment, I confirm that I have assessed the appropriateness of this investment in accordance with the FCA Handbook, or local regulatory framework and my/our licensing permission.

I declare that this application form has been completed to the best of my knowledge and belief and I have fully disclosed any charges as detailed in the Terms and Conditions and Product Guide, to the account holder(s). I understand that any adviser charge will be paid after the account has been opened subject to a fully completed Terms of Business agreement being in place.

I confirm contact with the client has been:

Face to Face:

Non Face to Face:

Adviser Name:

Adviser Signature:

Company:

Date:

ARIA IP Bank Account Coordinates

	Name:	Bank:	Sort code:	Account no:	SWIFT/BIC:	IBAN number:
GBP Bank Details:	SEI Investments (Europe) LTD Re Fusion Wealth	HSBC	40-05-20	31763512	MIDLGB22	GB31 MIDL 4005 2031 7635 12
EUR Bank Details:	SEI Investments (Europe) LTD Re Fusion Wealth	HSBC	40-05-15	71323643	MIDLGB22	GB19 MIDL 4005 1571 3236 43
USD Bank Details:	SEI Investments (Europe) LTD Re Fusion Wealth	HSBC	40-05-15	71323651	MIDLGB22	GB94 MIDL 4005 1571 3236 51
SGD Bank Details:	SEI Investments (Europe) LTD Re Fusion Wealth	HSBC	40-05-15	71323678	MIDLGB22	GB44 MIDL 4005 1571 3236 78
HKD Cash Payment Details:	SEI Investments (Europe) LTD Re Fusion Wealth	HSBC	40-05-15	71323694	MIDLGB22	GB97 MIDL 4005 1571 3236 94
Yen Cash Payment Details:	SEI Investments (Europe) LTD Re Fusion Wealth	HSBC	40-05-15	71325316	MIDLGB22	GB50 MIDL 4005 1571 3253 16

Bank Address for GBP: HSBC Bank PLC, 69 Pall Mall, London, SW1Y 5EY

Bank Address for USD/EUR/SGD/HKD/YEN: HSBC Bank PLC, 60 Fenchurch Street, London, EC3M 4BA

Please do not remit funds until your account number is provided.

CONTACT DETAILS

UK Address:

Ground Floor, 2 Bell Court,
Leapale Lane, Guildford,
Surrey, GU1 4LY,
United Kingdom

UAE Address:

Office 1004, Park Place,
Sheikh Zayed Road,
PO Box 413670,
Dubai, United Arab Emirates

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