

This form is to be used for Self-directed clients only, on Explicit Pricing.

Please complete this form using black ink in BLOCK CAPITALS and return to: Cofunds Limited, PO Box 1103, Chelmsford CM99 2XY

## 1 Intermediary Details (For intermediary use only)

You will require a Cofunds Authorisation Code before being able to transact business. If you do not include this we will not be able to process this application. Please note: our system will be updated to link the client to this Intermediary Authorisation Code.

Cofunds Intermediary Authorisation Code

Intermediary's Client/Deal Ref.

If you need to keep a record of the Confirmation of Verification of Identity for your client, there is a standalone form available on the Cofunds website.

## 2 Personal/Company Details (Please complete this section in full)

**Primary holder.** Please see Section 4 for joint holders.

Existing Cofunds Client Reference

Designation (if applicable)

I have not received financial advice in relation to this investment.

Mr/Mrs/Ms/Miss/Other

Surname

or company name

Full first name(s)

Current permanent residential address

(if registering in the name of a company, please provide the company address here)

Postcode

## 3 Segmentation (For intermediary use only)

Only complete this section if the client is not currently segmented, or if you wish to change their segment. All clients trading through Cofunds must be assigned to a segment.

Please note: we will only update the segment of the primary holder. If you wish to update the segments of any other holders you may do so online by visiting the Client Servicing section of the Cofunds website.

Please enter the full name of the segment as known by Cofunds using BLOCK CAPITALS

We will update your client's segment to the one entered above. Please note: if you change your client's segment this may alter the charge model your client is assigned to.

If the chosen segment has a Fund Sale Instruction applied your client must be made aware of this. Should you wish to take a charge, please ensure that the applicable charge model is assigned to the segment entered. Please note: the client will only be assigned to the charge model where it is set as mandatory for the chosen segment.

## 4 Joint Holders (All joint holders MUST complete this section)

Please include the full name of each holder. All correspondence will be sent to the primary holder above. Joint holders must have the same investment service as the primary holder.

### Second holder

Mr/Mrs/Ms/Miss/Other

Surname

Full first name(s)

### Third holder

Mr/Mrs/Ms/Miss/Other

Surname

Full first name(s)

## 5 Convert All Accounts

If your client has existing commission-included share class funds, please tick the box below to convert all accounts where they are the primary holder. This instruction will convert all funds to commission-free, as available to you.

Convert all accounts

If you have access to exclusive, equivalent commission-free share class funds, we'll convert your client's funds to these. For details of all commission-free share class funds please see 'Funds Available from Cofunds' (<http://www.cofunds.co.uk/docs/gbub/cofunds-fund-list-gbub.pdf>).

Please note: for clients who have a Sale for Regular Payment (SFRP) set up with a nominated commission-included share class fund, we'll automatically update this, and any existing regular contribution, to an equivalent commission-free share class fund.

## 6 Nominated Bank Account

Complete this section if you have not provided us with your nominated bank account details, or would like to change the details we hold for you.

You will need to verify this bank account before it can be used alongside your Cofunds account. To verify your account, please send us a void signed cheque or a bank statement within the last three months.

You can change your nominated bank account at any time, however you can only nominate one.

Name of account holder
Bank or Building Society name and address
Postcode

Branch Sort Code

Bank/Building Society Account Number

Building Society Roll Number

## 7 Switching Details

### FUND(S) TO BE SOLD

Please indicate the share class and unit type of fund(s) you wish to sell.

Fund manager, fund name and share class	Inv. ISA <sup>1</sup> , ex PEP, ex Mini OR Inv. Funds	% to be Sold or ALL	OR	Whole number of units	Continue monthly saving <sup>2</sup> (Y/N)
		%			
		%			
		%			
		%			
		%			
		%			
		%			
		%			
CASH RESERVE	ISA	%			
		<b>100%</b>			

Both partial and full sales of funds are permitted. Sale proceeds can be allocated to more than one fund if desired.

<sup>1</sup> If you select ISA and you hold more than one Cofunds Investment ISA (i.e. ISAs and PEPs from previous years) we will switch the required percentage/number of units in the following order: first: PEP, second: Mini ISA, third: Cofunds Investment ISA. Where no product is stated and if the fund(s) specified is/are only available in one product Cofunds will action the request from that product.

<sup>2</sup> If you would like to continue your monthly savings in the funds being sold, please indicate in the table above. If you leave this section blank, Cofunds will continue with your most recent Direct Debit instruction.

### FUND(S) TO BE BOUGHT

Please indicate the share class and unit type of fund(s) you wish to buy. Please ensure the funds are available through Cofunds. You can only choose commission-free share class funds. If you do not indicate the share class, we'll select the commission-free share class fund, where available.

Please note: if your intermediary has agreed exclusive share classes with a Fund Manager for your selected funds, we'll always invest in that exclusive share class and not the share class you've selected below.

Fund manager, fund name and share class	Inv. ISA, ex PEP, ex Mini OR Inv. Funds	Type of unit/share (ACC/INC) <sup>4</sup> (delete as appropriate)	% of proceeds to be invested (if more than one fund)	Monthly saving <sup>5</sup>
(example) World Equity A Fund		N/A	%	£
		ACC/INC	%	£
		ACC/INC	%	£
		ACC/INC	%	£
		ACC/INC	%	£
		ACC/INC	%	£
		ACC/INC	%	£
		ACC/INC	%	£
		ACC/INC	%	£
CASH RESERVE <sup>3</sup>	ISA	N/A	%	£

#### <sup>3</sup> Cash Reserve

Please note: this will be included as part of your ISA allowance and not placed into your cash account.

<sup>4</sup> If you do not specify ACC or INC in this column, and do not complete Section 8, Cofunds will invest into accumulation units/shares where available.

<sup>5</sup> If you are already making regular contributions into this product and would like to start contributions in the funds being bought, please indicate the monetary amount. **This will be considered an addition to the existing regular contribution.** To amend your monthly savings amount, please use the Investment Funds or ISA Regular Contribution Amendment Form.

## 8 Income

Complete this section if you have requested income units/shares ('INC'). The option you choose will be applied to all income units/shares you hold within this product. If you have selected the option to 'Retain in fund' this will only be applied to the commission-free share class funds you hold, any commission-included share class funds you hold will continue to pay income in accordance with your previous instruction.

Please note: if you are taking regular withdrawals from your cash account you may only select the 'Cofunds Cash Account' or 'Retain in fund' options.

- Consolidated monthly income**  
Income generated from your investment funds will be consolidated into your cash account and paid to your nominated bank account on a monthly basis.
- Cofunds Cash Account**  
Income generated will be paid into your cash account to be held on platform for withdrawals or future investment.
- Retain in fund**  
Income generated from this investment will be retained in the fund.

If you do not already hold income units/shares within this product and you do not tick one of these boxes we will select the 'Retain in fund' option by default. If you already hold income units/shares within this product and you do not tick one of these boxes we will apply your existing income option to all funds within this product.

## 9 Service Charge (For intermediary use only)

This section is used to agree a Service Charge allowing payments to be made to you, the intermediary. Please ensure that the charge model applies to the segment the client is being assigned to.

Service Charge model name	Annual Service Charge* %	VAT** <input type="checkbox"/> Yes <input type="checkbox"/> No
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\*Taken monthly. If you have a tiered Service Charge you should enter the highest possible percentage.

\*\*Cofunds will use the VAT rate that is in place at the end of the month for which the calculation is being performed.

## 10 Declaration and Authorisation

Switches between funds usually take two business days to complete, depending on the valuation point for your chosen fund(s) so you should be aware that your investment may be out of the market for a period of time while the switch is taking place. This means there may be the potential for loss of income or growth if the market rises whilst the switch is pending.

### Authorisation

I understand and accept that I am entitled to cancel my application in accordance with the Key Features applicable to the product I am investing in and that if I choose to cancel my application, my investment shall be subject to market movement during the period from the date when my application is processed to the date my investment is sold.

I understand that if applicable, any application to switch will be deemed to include all former ISA and PEP products. I authorise Cofunds to switch on my behalf the investment fund(s) indicated above. I confirm that I have received the relevant product Key Features/Fund specific information and/or Key Investor Information Documents (KIID) relating to my investment. A copy of the KIID can be found via the following link: [https://www.cofunds.co.uk/Investors/Reports\\_and\\_Accounts\\_Investors.aspx](https://www.cofunds.co.uk/Investors/Reports_and_Accounts_Investors.aspx)

I understand that there are fees (the Cofunds Platform Charges) for the use of Cofunds services. I authorise Cofunds to collect these fees from my Cofunds Cash Account. If there is insufficient money in my account, I authorise Cofunds to sell enough of my platform assets to pay these fees in accordance with the 'Our Charges' section of the Terms and Conditions of the Cofunds Platform (Self-directed Explicit Pricing).

### Convert All Accounts (only applicable if Section 5 is completed)

I understand that it's Cofunds normal business practice to process my conversion following receipt of my instruction. The instruction to convert is then passed to the Fund/Plan Manager who will convert and confirm back to Cofunds upon completion. Cofunds, upon receipt of confirmation, will then reflect the change(s) to my accounts. This process is subject to change dependant on volumes and individual Fund/Plan Manager processing procedures. I authorise Cofunds to convert on my behalf as outlined above.

I understand that Cofunds will convert commission-included share class funds to their commission-free share class equivalent, where available to my intermediary.

I understand that Cofunds will convert commission-free share class funds to commission-free exclusive share class funds, where available to my intermediary.

I understand that any existing regular contributions I make will be made into commission-free share class funds, in accordance with my request to convert my account.

I understand that once my shares have been converted, my holdings will be subject to the Cofunds Platform Charges, which Cofunds will collect in accordance with the Terms and Conditions of the Cofunds Platform (Self-directed Explicit Pricing).

### Fund Sale Instruction

If a Fund Sale Instruction applies to the segment linked to my investment, I accept and agree that funds will be sold to settle any outstanding fees and charges which have accrued prior to this date and all fees and charges payable hereafter.

### Service Charge

I confirm that I have received my Fees and Charges Schedule and understand which fees and charges are applicable to my investment. I instruct Cofunds to pay my intermediary (named above) the Service Charge specified in Section 9 of this form, and in my Fees and Charges Schedule, from my relevant Cofunds payment account.


I understand that Cofunds will accept authority from the primary holder only, in most circumstances. For trusts and Powers of Attorney more than one signature may be required.

If I have an active Sale for Regular Payment mandate, or the segment linked to my investment applies to a Fund Sale Instruction (as described in my Fees and Charges Schedule) and there is insufficient money within my relevant payment account, I authorise Cofunds to sell enough of my platform assets to pay the Service Charge in accordance with the relevant Terms and Conditions of the Cofunds Platform or Customer Agreement applicable to my investments/assets.

A copy of the relevant Terms and Conditions of the Cofunds Platform can be found at <https://www.cofunds.co.uk/web/platformterms.aspx>

### All holders must sign and date this form.

Where there are two signatories for a corporate investor, please delete reference to primary and second holder.

Primary holder signature 	Date
Capacity (if applicable)	
Third holder signature	Date
Capacity (if applicable)	

Second holder signature	Date
Capacity (if applicable)	

This form will be returned if it's not signed and dated.

If you are completing this as a company you must include a copy of the Articles of Association.