REDSWAN®
PENSIONS

REDSWAN SIPP
(the "Plan")

Appointment of a Financial Adviser

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Where you do not have an appointed financial adviser, we will deal directly with you. Where one is appointed, all correspondence and contact will be with that firm until we are instructed otherwise.

Do you have a financial adviser?	Y / N
If "Y", please insert details of the adviser you wish to appoint alongside	Contact: Company Name: Company Address: Postcode: Tel No: Fax No: Email:

In signing this form, you are authorising the Plan Trustees & Administrator to accept instructions to invest and disinvest from your adviser.

Adviser Remuneration

The following options deal with fee payments to be taken from your Plan only. If your adviser is to be paid for additional services, such as advising on and arranging investments, please see the suggested letter from the downloads section of our website.

Please detail how the financial adviser is to be remunerated in relation to the services provided to your Plan. **This is a standing instruction until we are informed otherwise and would be in addition to any other agreed remuneration, eg for investment advice.**

Initial fee	£_____________ flat amount or _____________% of the opening funds, ie all new monies coming in to your Plan
Annual fee	£_____________ flat amount or _____________% of the value of your Plan pa at its anniversary

Applicant's Declaration

I appoint and authorise the payment of the fees to my chosen adviser. I understand the fees will be deducted from funds held in my Plan. I understand that if there is insufficient money held in cash in my Plan, investments may be realised to settle any of these charges.

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If my adviser is VAT registered, I understand VAT may be in addition to the charges detailed above.

Signed	
Name (IN CAPS)	
Date	

Adviser's Declaration

I hereby request the above remuneration structure having discussed and agreed it in full with the Plan member.

I understand that payments can only be made once the Plan has been established, it has paid its initial costs and remains in net funds.

I will levy a detailed invoice on the above basis made out to "The Trustees of [Member's Name] Redswan SIPP" for the initial and recurring fee (if any) + VAT, if applicable.

It is understood and hereby warranted to the Plan Trustees & Administrator that no monies in respect of any fees levied will be passed, either directly or indirectly, back to the Plan member. It is also understood that any breaches of this HMRC ruling will be immediately reported to them and my compliance officer / regulator.

Signed	
Name (IN CAPS)	
Company / Firm	
FCA Number	
Company / Firm Stamp	
Is this an advised sale or "Execution Only"	Advised / Execution Only

PLEASE RETURN THE COMPLETED FORM TO REDSWAN PENSIONS