Fidelity INTERNATIONAL

Transfer of Business form

Application form for transferring client accounts from one company to another

How to fill in this form:

- Please complete this form if you wish to complete a transfer of business from one agency to another.
- Please read this form carefully and complete all relevant fields as we require all this information to process your request.

What's next?

Once you have completed the form you can submit this through your online account via Upload & Send.

If you are a new agency then please first register for online services so you can submit this instruction online: **https://adviserservices.fidelity.co.uk/contact-us/register-online-services**

1 Details of Previous Agency

FCA number

Fidelity Unique Adviser Number(s)

Please list all of the Unique Adviser Number(s) (UAN) that you wish to transfer from the previous agency to the new agency. Please include the Fidelity Head UAN in this list if you also wish to transfer this UAN.

Company Name

Email

2 Details of New Agency/Adviser

FCA number

Company Name

For us to transfer the business in an efficient way we need you to inform us which Fidelity UAN we should transfer the clients to. **So please mark an X in ONE of the following options, A,B or C.**

☐ **(A)** Link all clients to your existing Fidelity UAN. Please state here what UAN we should link the clients to.

☐ **(B)** Recycle existing Fidelity Head UAN. Please note this option is only applicable for full transfer of all clients linked to the previous agency's UAN and both old and new firm should belong to the same group of companies as per the FCA register. We will simply update the FCA Number and all agency details. Please note we can only transfer existing fees, but we cannot change or cease it. You can make changes online once the transfer of business is complete.

☐ **(C)** Create a new **Fidelity UAN**:
If you are looking to create a sub agency, please state here what **Head UAN** we should link this new agency to.

TranOB_AdiserWEBonly /02.25/v2.0

2 Details of New Agency/Adviser (continued)

If you select option A, please ignore filling in the below details in this section.

Company Address

Building Number/Name

Street, City, County

Postcode

Phone number (in case we need to contact you)

UAN/Consultant Email Address

Company Bank Details

Name of account

Account number

Sort code

3 Transfer Instruction

Please ensure you provide accurate information in your application as we rely on this information in order to process your instruction as quickly as possible.

☐ 1 Please mark an X in this box if you are completing a Full Transfer. If you select this option, please ignore Section 4.

☐ 2 Please mark an X in this box if you are completing a Partial Transfer. Please go to Section 4. (NB: a partial transfer is where not all the clients from the previous agency are transferred to the new agency.)

☐ 3 Please mark an X in this box if you want all adviser fee agreements with clients linked to the previous agency to be stopped once the transfer of business has completed.

☐ 4 Please mark an X in this box if you want all adviser fee agreements with clients linked to the previous agency to continue once the transfer of business has completed.

4 Partial Transfers

If you are fully transferring all clients from the previous agency to the new agency, then please leave this section blank.

Important Notes:

- Please ensure, if you are making a Partial Transfer, you have attached the correct excel document with the required information - https://eumultisitev4prod-live-eb461540d2184169bb77db2b062d9318-f268f99.s3-eu-west-1.amazonaws.com/fnw/forms/transfer-of-business.xlsx
- If you are performing a Partial Transfer, please note we will transfer your client's Cash Management Account (CMA) to the new agency unless the client has any remaining active accounts linked to the previous agency. If this is the case we will create a new CMA under new agency.

This declaration can be digitally signed using any digital signature provider that is legally recognised in the UK. Alternatively, the previous agency can send you a signed authority letter which you can submit together with this form online via Upload & Send.

5 Previous Adviser Declaration and Signature

If you are transferring business from an agency that is part of the same group as yours then please mark an X in this box and you can skip this section. ☐

Please note if you are an appointed representative then we require signed authority from the network firm and therefore they should complete this declaration

We confirm that we consent to this transfer and that clients have been adequately informed about the implications of this.

Please note that the information provided on this form will take precedence over any other permissions documents that are provided. Such documents will only be referred to if there is information missing on this form.

Your signature

Signature

Print name

Firm name

Date signed

(DDMMYYYY)

6 New Adviser Declaration and Signature

We confirm: ☐

That clients have been adequately informed about the implications and have given their consent to this transfer.

That we will be liable for losses arising as a result of inaccurate or incomplete information in accordance with the Fidelity Terms of Business for Intermediaries.

That all the users with logins to any existing agency are accurate with up-to-date email addresses.

We understand this form is not applicable for transfer of business of Fidelity Workplace Pension accounts.

That as an appointed representative we require signed authority from the network firm and that they have completed the declaration.

Information provided on this form will take precedence over any other permissions documents that are provided. Such documents will only be referred to if there is information missing on this form.

As part of using this service, the existing Adviser Ongoing Fee, DFM fee, any Model Portfolios, or previous business agreements may or may not be carried over depending on the type of transfer request. We acknowledge that once a client has been moved to a new agency, we may have to link a model portfolio (if required) and activate any ongoing adviser or DFM fee (if required) once the client has been moved.

Your signature

Signature

Print name

Firm name

Date signed

(DDMMYYYY)

Please submit this form and any other relevant documentation online via Upload & Send.