
Appointment of Financial Adviser Form

IMPORTANT INFORMATION

OTAP is the brand name of Overseas Trust and Pension Ltd, Overseas Pensions and Benefits Ltd and Overseas Pensions Administration Ltd (the Companies). They are licensed by the Guernsey Financial Services Commission under the Regulation of Fiduciaries, Administration Businesses and Company Directors, etc (Bailiwick of Guernsey) Law, 2020. Overseas Trust and Pension Ltd and Overseas Pensions and Benefits Ltd are registered in Guernsey numbers: 55506 and 39935 respectively. Their registered office is Lefebvre Court, Third Floor, Block B, Lefebvre Street, St Peter Port, Guernsey, GY1 2JP. Overseas Pensions Administration Ltd is registered in Alderney number: 1427 and its registered office is Millennium House, Ollivier Street, St Anne, Alderney, GY9 3TD.

Overseas Trust and Pension Limited is an authorised financial services provider in terms of the South African Financial Advisory and Intermediary Services Act ("FAIS") and is regulated by the Financial Sector Conduct Authority ("FSCA") of South Africa. FSP number 47261.

OTAP does not offer financial, investment or tax advice, any information provided should not be considered as such. OTAP accepts no legal liability for losses, damages or expenses which you may incur or suffer directly or indirectly by using this information.

We endeavour to make sure the information is accurate and up-to-date however, no warranty is given as to the accuracy or completeness of any information and no liability is accepted for any errors or omissions in such information, products or services provided to you.

We strongly recommend that clients take regulated financial and investment advice relevant to their individual circumstances. It is the responsibility of clients and their advisers to review the advice and investments at least annually. The product terms, risks and charges (including: initial, annual and exit) should be considered, understood and agreed with your Financial/Investment Adviser.

Past performance is not a reliable indicator of future results. Investment values and the income from them can go down as well as up and may be affected by changes in rates of exchange. An investor may not receive back the amount initially invested.

Data Privacy Statement: Please refer to our Data Privacy Policy published on the Overseas Trust and Pension website: www.trustandpension.com/legal-and-regulatory

Section 1 - Member Details

Title (e.g. Mr/Mrs/Miss/Ms/Dr/Other)	Name
Surname	
Plan Name	
Plan Reference	
Residential Address	
Post Code	Country
Email	Telephone

Section 2 - Financial Adviser Firm Details

The Financial Adviser Firm ("Adviser") is the regulated entity (or regulated individual if a sole trader) that holds Terms of Business with OTAP and is responsible for providing investment direction and financial advice in respect of the Plan.

It is the responsibility of the Adviser to select investments appropriate to the Member's investment objectives and risk appetite, to monitor the performance of these investments, and to make adjustments where necessary.

The Adviser is responsible for ensuring the Member understands and accepts all risks, costs and charges associated with the Member's Plan and underlying investments. The Individual Adviser is the representative of the Adviser Firm with whom the Member has a relationship.

Name of Adviser Firm	Individual Adviser Name
Adviser Firm Address	
Post Code	Country
Individual Adviser Email Address	
Telephone	
Investment Provider Agency Code	

Certain Investment Providers may require additional supporting documentation for the appointment of a Financial Adviser. Please supply this information along with the Appointment of Adviser Form.

Section 3 - Financial Adviser Fees

Member - Please select from the options below:

- Please continue with the existing fee arrangement and pay it over to the newly appointed Adviser.
- Please cancel the existing fee arrangement.
- For any other fee arrangement, please tick the box and we will contact the appointed Adviser with the requirements.

If you ticked option 1 or 3 above, please note that we will require the Investment Provider's fee change documents to be submitted along with their and our Appointment of Financial Adviser Forms.

Adviser - Please indicate the currency you wish to receive commission or fee payments in (if paid directly from the Plan). Commissions will be paid in accordance with our Terms of Business (please tick).

- Sterling Euro US Dollar

Please provide us with your full bank account details below

Bank Name

Sorting Code

SWIFT/BIC

IBAN Account Number

Account Name

Account Number

Section 4 - Member Declaration

I hereby confirm that the above named Investment Adviser or Financial Adviser where also acting in the capacity of Investment Adviser ("Adviser) is authorised by me to advise on and change the investments within my Plan and notify Overseas Trust and Pension ("OTAP") of such changes. As a Member of a directed pension plan, I understand that it is my own and/or my Adviser's responsibility to determine the suitability of any investments and carry out regular reviews of suitability and performance. OTAP is not responsible for reviewing the suitability and performance of the investments. I understand that OTAP does not approve nor recommend any investments that are chosen by me and/or my Adviser.

OTAP accepts no responsibility for losses, damages and/ or costs that may be incurred as a consequence of buying, selling or holding an investment at my request and/ or my Adviser.

It is the Adviser's responsibility to provide the Member with written details about the investment features, terms, risks, penalties (including establishment periods), charges, fees, commissions payable, etc. By requesting an investment personally or through your Adviser you are confirming receipt, understanding and acceptance of all such information.

The current Adviser will be replaced and will no longer be able to obtain information about your Plan and any commissions paid from the underlying investment may cease to be paid to that Adviser.

I hereby agree (so as to bind my estate, personal representative and heirs) to indemnify and keep indemnified OTAP, its delegates, successors and assigns (and each former or current director, officer, employee or affiliate of them) from and against any loss, liability arising from or in connection with the appointment of or any act or anything done, neglected or omitted to be done by my Adviser or in connection with the investment return or performance of the investments linked to my investment, any life policy and or my membership of the Plan howsoever arising.

OTAP shall not incur any liability howsoever arising in respect of handling investment instructions and does not undertake to handle instructions within a set period of time.

Member to sign and date

Signature of Member

Print Name

Date